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ABSTRACT

This Systems and Procedures Exchange Center (SPEC) Kit on serials control and deselection projects provides a timely review of the efforts of research libraries to control the increasing costs of serial subscriptions. This kit contains documents from 13 libraries: University of California at Los Angeles and Riverside; Universities of Florida, Iowa, Kansas, Louisiana, Michigan, Minnesota, North Carolina at Chapel Hill, State of New York at Buffalo, Texas, and Toronto; and the Research Libraries Group. The documents include: (1) memoranda informing and instructing faculty and librarians; (2) tables, graphs, and spreadsheets to provide a statistical and visual perspective; (3) reports to administrators explaining the situation within a local and national context; (4) internal operating policies, procedures, timetables, and forms; (5) progress reports to administrators, faculty, and librarians; and (6) newsletters and press releases. Also included in the kit are a two-page management flyer; the May 1988 SPEC call for documents; and a selected reading list of four items. (CGD)

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SERIALS CONTROL AND DESELECTION PROJECTS
SPEC KIT #147-September 1988

Over the past five years, the proliferation of serials and the rapidly rising cost of subscriptions have taken an increasing share of the research library's materials budget. To provide a timely review of libraries' efforts to control subscription costs, the SPEC Kit on Serials Control and Deselection Projects (#147, September 1988) was produced in a shortened timeframe. The Kit draws upon a May 1988 mailing to 26 member libraries, with 18 responses. The two-page SPEC Flyer which introduces the Kit describes factors that have contributed to rising costs and reasons for focusing on serials, and then compares librarians' responses to the problems in the 70s and 80s. It concludes with a short discussion of trends and issues.

The cost of providing access to and preserving scholarly information has grown much more quickly in the past decade than libraries' budgets for materials and access to information. Escalating subscription costs reflect such global trends as the United States' declining economic power and a reduced federal role in funding higher education. The increasing number of serial titles reflects the rapid growth in the amount of information scholars are producing, partly in response to academic recognition and reward systems. Subscriptions comprise a major part of a research library's materials budget -- between 50% and 80% on the average. Serials tend to have higher unit costs and rates of increase than monographs.

Documents submitted for this SPEC Kit indicates that librarians are managing the present problems based on their skills and learnings from past experiences. Appeals are clearly and forcefully presented while supporting documentation includes an impressive array of statistics, tables, graphs, spreadsheets, and lists of cancelled titles. The documentation further suggests that libraries' experience in the 70s affects the way they are responding to and managing the experience in the 80s. For example, many research libraries have found that cancellations this time are more difficult because collections have not recovered from cancellations made in the 70s.

The serials part of the currebt crisis lies close to the surface of a complex issue. Short-term, reactive strategies such as cancelling serials or securing one-time bail-out funds do not address the fundamental problems of controlling an expanding scholarly information environment. Successful strategies in the future will be built on the experience and skills of librarians working together in partnership with their colleagues, the teaching faculties, and the publishing industry.

The SPEC Kit on Serials Control and Deselection Projects (#147 - September 1988) contains documents from 13 libraries, including memoranda informing and instructing faculty and librarians; tables, graphs, and spreadsheets to provide a statistical and visual perspective; reports to administrators explaining the situation within a local and national context; internal operating policies, procedures, timetables, and forms; progress reports to administrators, faculty and librarians; and newsletters and press releases. The two-page management flyer, the May 1988 SPEC call for documents, and a selected reading list also are included.

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spec flyer #147—September 1988 OMS
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SERIALS CONTROL AND DESELECTION PROJECTS

Over the past five years, the proliferation of serials (defined in the *ALA Glossary*, 1983 edition, as including periodicals, newspapers, annuals, society publications, and numbered monographic series) and the rapidly rising cost of subscriptions have taken an increasing share of the research library's materials budget. In order to control costs and provide for the purchase of new materials (including new serials), librarians have reviewed and cancelled thousands of subscriptions and deferred the purchase of tens of thousands of monographs and new serial titles. Such management activities are commonly called serials access, cancellation, control, deselection, or review projects.

CONTRIBUTIONS TO RISING COSTS. The materials budget crisis is only the most visible part of a complex problem with many roots. The cost of providing access to (and preserving) scholarly information—in all its forms—has grown much more quickly in the past decade than libraries' budgets for materials and access to information. Escalating subscription costs reflect such global trends as the United States' declining economic power and a reduced federal role in funding higher education and access to information. The increasing number of serial titles and the increasing size of serial volumes reflect the rapid growth in the amount of information scholars are producing, partly in response to academic recognition and reward systems.

The fact that a fair amount of the scholarly information published abroad has been created in the US at public expense adds a note of irony.

The prices charged by foreign publishers reflect the weakened US dollar. The fact that a fair amount of the scholarly information published abroad has been created in the United States at public expense adds a note of irony to the situation. The higher prices charged by some publishers and vendors reflect (at least in part) the costs of restructuring the information industry, competing for valuable information sources, and developing and marketing scholarly information in new machine-readable databases and electronic information systems.

Competition closer to home is another root of the problem. Reduced federal support for higher education has resulted in increased competition among universities and libraries for funding from federal, state and private agencies. Within the universities themselves, the libraries' budgets face strong competition with budgets for salaries, student aid, computers and equipment.

FOCUS ON SERIALS. Why the focus on serial subscriptions when rapidly rising costs are affecting all parts of the collections? Librarians and scholars tend to regard a serial subscription as a permanent commitment, but when reductions must be made librarians usually look at subscriptions first for several reasons. Subscriptions comprise a major part of a research library's materials budget—between 50% and 80% on the average. Serials tend to have higher unit costs and rates of increase than monographs. Most serials must be paid in advance, and many publishers or vendors assess additional (and unpredictable) charges for titles in the course of the subscription year. Serials such as monographic series are highly unpredictable in their frequency as well as their cost, which can create significant planning and budgeting problems. An added incentive to reducing serials is that it may result in reductions in expenditures for backfiles, microfilm, binding, and staffing.

RESPONSES IN THE 'EIGHTIES. The documentation submitted for this SPEC Kit indicates that librarians are managing the present problems using varied approaches based on their skills and learnings from past experiences. Reports, instructions, and appeals are clearly and forcefully presented while supporting documentation includes an impressive array of statistics, tables, graphs, spreadsheets, and lists of cancelled titles.

In a some cases, control/deselection projects are managed by only a few librarians; in some cases they appear to be directed chiefly by one individual (the chief collection development officer or, rarely, the director) who coordinates the participants. In other instances a committee of librarians leads the local effort. Most projects have a complex organization, including librarians (with faculty usually playing an important though secondary role), established timetables, lists with detailed information about specific titles, scheduled follow-up activities, and progress reports.

Several projects apparently make effective use of library and campus newsletters—some have developed ad hoc "budget crisis" newsletters—to keep faculty and administrators up-to-date. Some directors use published reports to keep their campus administrators informed, while others prepare their own written reports or oral presentations supported by colorful

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slides and handouts. One library's documentation includes an agreement negotiated with the administration for underwriting the annual cost to the materials budget of price inflation and currency fluctuation.

Cancellations this time are more difficult because collections have not recovered from . . . the 70s

It is useful to view these responses to the serials problem in an historical perspective. Many librarians recall a similar crisis that occurred in the mid-1970s. Some view the problem of the 1970s as an earlier, weaker manifestation of the problem of the 1980s, and conclude that greater crises await us in the future. Whether or not this is true, the SPEC Kit documentation suggests that libraries' experience in the 70s has affected the way they are responding to and managing the experience in the 80s. For example, many research libraries have found that cancellations this time are more difficult because collections have not recovered from cancellations made in the 70s. Many libraries are aided substantially by having review/deselection policies and procedures, developed ad hoc in the 70s and tested over the years, firmly in place in the 80s.

There are important differences, too, between the projects of the 70s and the 80s in terms the experience, tools, and resources. For example, management information in online library systems and micro-based data management systems was unavailable to most libraries in the 70s; in the 80s (as the SPEC Kit tables and graphs demonstrate), librarians are able to prepare more accurate and persuasive documentation. Likewise, research libraries in the 80s are relying on cooperative, coordinated collection management approaches that were relatively undeveloped 15 years ago. Formal links—such as those provided by the Research Libraries Group, Inc., the Center for Research Libraries, and the Association of Research Libraries—are playing an important role in the 80s. Informal links—the exchange of ideas, documents, and statistics in professional meetings, in oral and written communications—also have increased significantly since the 70s.

TRENDS AND ISSUES. In the 70s, serials projects were designed to "cancel." Somewhat later they were, in language both more precise and less direct, developed to "review and deselect". Now, the language of "control and access" is used, reflecting libraries' increasing reliance on cooperative initiatives including coordinated decision-making and remote access. Research libraries are effectively managing a difficult problem, and they have gained valuable knowledge and skills in the experience. This will help them manage in the future when, undoubtedly, more subscriptions will have to be "controlled".

However, librarians will have to keep in mind that the serials part of the crisis lies close to the surface of a complex issue. Short-term, reactive strategies such as cancelling serials —or securing one-time bail-out funds—do not address the fundamental problems of controlling an expanding scholarly information environment. The answers that will move us beyond the crisis are to be found in new, forward-looking strategies for the selection, storage, retrieval and transfer of scholarly information. Successful strategies in the future will be built on the experience and skills of librarians working together in partnership with their colleagues, the teaching faculties, and the publishing industry.

The SPEC Kit on Serials Control and Deselection Projects (#147, September 1988) resulted from a call for documents in an ARL Newsletter and a special mailing in May 1988 to 26 member libraries, with followup calls in July 1988. Responses, including several hundred pages of documentation, were received from 18 ARL members.

The Kit includes more than 100 pages of documents from 12 ARL members and The Research Libraries Group, Inc. The documents reflect the various efforts of library directors and collection development librarians to describe, explain, justify and resolve the problems of controlling serial subscription costs. Included are examples of memoranda informing and instructing faculty and librarians; tables, graphs, and spreadsheets to provide a statistical and visual perspective; reports to administrators explaining the situation within a local and national context; internal operating policies, procedures, timetables, and forms; progress reports to administrators, faculty and librarians; and newsletters and press releases.

* * *

This flyer/kit was prepared by David Farrell, Associate Dean of Libraries for Collection Management, Indiana University Libraries, as part of the OMS Collaborative Research Writing Program.

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Table of Contents

OMS

Systems and Procedures Exchange Center

ISSN 0160 3582

Serials Control and Deselection Projects
Kit #147
September 1988

SPEC Call for Documents		1
California, University of (Los Angeles)	"Tight Money for Biomedical Library Collections;" 3/87	3
	Proposed Journal Subscription Cancellations (memo); 7/24/87	4
	Second List of Proposed Journal Subscription Cancellations (memo); 9/21/87	8
	Completed Journal Cancellation List (memo); 12/21/87	10
California, University of (Riverside)	Analysis of the Journal Pricing Problem; 3/7/88	11
Florida, University of	Serials Evaluation Process; 12/23/87	23
	Serials Cancellation Request Form; 1/1/88	30
Iowa, University of	Serial Titles Cancellations (memo); 9/25/86	31
	1986/87 Budget Reduction (memo); 6/26/86	32
	1987 Cancellations (memo); 10/26/87	37
	Reduction in Library Acquisitions, 1988-89 (memo); 4/19/88	39
	Library Acquisitions: An Update (newsletter); 4/20/88	40
Kansas, University of	Status Report on Acquisitions Allocation (letter); 1/27/87	42
	Serials Cancellations (memo); 3/5/87	45
	Serials Cancellation (memo); 2/24/87	47

Kansas, University of (cont.)	Acquisitions Budget and Serials Cancellations Procedures (letter); 9/18/87	49
Louisiana State University	Continuing Review of Journals (memo); 4/4/88	54
	Page and Article Comparison, 1981-86 (tables)	57
Michigan, University of	Serials Review Sequencing and Procedures (memo); 2/15/87	59
	Journal Evaluation (forms)	62
	Criteria for Serials Selection/Deselection	66
Minnesota, University of	Articles on Journal Cancellation and Escalating Journal Prices	68
	Letter to Publisher; 2/12/88	71
North Carolina, University of (Chapel Hill)	Status of Serials and Standing Order Reviews (memo); 7/23/87	72
Research Libraries Group	"RLG Board Passes Resolution on Serials Prices" (press release); 7/1/88	78
	Cooperative Serials Access: Update (memo); 5/18/88	79
State University of New York (Buffalo)	Acquisitions Budget Crisis (letter); 5/5/88	81
	Serials Review Project (memo); 4/4/88	84
	Duplicate Subscriptions (memo); 3/23/88	88
Texas, University of (Austin)	Serials Cancellation Project (memo); 7/16/86	93
	Second (and Last) Wave of Serials Cancellations (memo); 11/24/86	95
	Policy Memorandum: Duplication Policy	96
	Policy Memorandum: Guidelines for Serials Selection and Cancellation	98
Toronto, University of	A Mechanism for the Protection and Establishment of Library Acquisitions Budgets	101

SELECTED READING LIST 117

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26 mailed; 18 responses

May 18, 1988

CALL FOR DOCUMENTS

SERIALS REVIEW AND CANCELLATION PROJECTS

Many ARL libraries are conducting projects to review and/or cancel serials, and several members have suggested that a timely SPEC Kit on these developments could be very useful to them. To produce a SPEC Kit as quickly as possible, we are issuing this Call for Documents. We are interested in written materials that your library has generated over the past 24 to 36 months regarding serials review/cancellation projects.

Only 26 libraries are receiving this call, selected upon the basis of interest and activity in this area. We will produce a SPEC Kit from submitted materials on a rush basis. We ask that you return your materials within the next three weeks, but no later than June 10, 1988 to be considered for inclusion in the kit.

* * *

Documents might include, but are not limited to, the following:

--Planning and discussion documents for coordinating and conducting a local serials review/deselection project, including

* Review or deselection criteria

* Policies on treatment of duplicate subscriptions

--Descriptions of impact of serials budget crisis on specific subject or monographic collections.

--Memos and letters to librarians, faculty, and/or administrators informing them of the situation, describing its impact on collections and budget, and requesting advice or assistance.

--Reports and studies demonstrating the impact of specific factors, e.g., discriminatory pricing, fluctuating exchange rates, on the local materials/serials budget.

--Reports or other documents directed to external stakeholders such as consortial partners, learned societies, vendors, and publishers.

[OVER, PLEASE]

--Reports or other documents using internal and/or external serials cost data for local budget requests, including routine or emergency budget allocations, etc.

--Documents describing innovative and/or long-range proposals developed to address the problem (e.g., proposals to modify the budgeting/allocating procedure or structure, proposals for closer coordination and direct action within a consortium, fund-raising appeals to underwrite serials costs, coordination with university presses or learned societies to produce journals).

--Documents indicating new or increased reliance on consortial or other resource-sharing partners.

* * *

[In addition to being considered for inclusion in a SPEC Kit, submitted materials will contribute to an economic analysis of journal publishing which ARL libraries are supporting with a special fund and which is expected to be completed by the end of the summer.]

Send materials as soon as you are able, but no later than June 10, 1988, directly to OMS Collaborative Research-Writer David Farrell at the address below. Please check to see that your library's name is on all materials.

David Farrell
Associate Dean of Libraries for Collection Management
Libraries
Indiana University
Bloomington, IN 47405

University of California, Los Angeles

RECENT ACQUISITIONS LIST

List No. 456

MARCH 1987

UCLA BIOMEDICAL LIBRARY

TIGHT MONEY FOR BIOMEDICAL LIBRARY COLLECTIONS

This has not been a good year for collection building at many U.S. academic libraries, including UCLA. At Biomed, the combination of no inflation increase over last year's allocation, the declining buying power of the dollar, the substantial increase in the number of biomedical books and journals being published, and an unexplainable rise in prices above inflation and declining exchange rates has caught up with us. Our concern about dwindling book funds arose months ago and we instituted cut-back measures at that time, but nevertheless actual costs have outrun even our dire projections. Therefore purchases of new journal titles and most monographs have been put on hold until the beginning of the next fiscal year in July.

Fortunately we will continue to receive and to buy all other types of materials. Our current journal subscriptions have been paid for 1987, so service to these titles will continue uninterrupted. Special funds and the good will of our vendors will provide many of the monographs that are published as numbered volumes in a series, and historical or rare books. PLEASE NOTE that we will purchase any item needed for class reserve; as far as possible we will also try to accommodate those needs for materials that cannot be met by interlibrary loans from other libraries. We will maintain records of titles we plan to purchase when funds become available, and we encourage our users to continue to submit purchase recommendations at the Reference Desk or the Holdings Information Station.

As far as is known at present, book funds will be equally tight next year. Therefore our staff is beginning to outline a plan for attacking the necessary cut-backs in a logical fashion, a plan that necessarily involves our faculty, all UCLA libraries, and the other health and life sciences libraries of the UC system. Be assured that we will work with our faculty library committees and with all our primary users to minimize the impact of these tight fiscal times, and to maintain the integrity of our collections. We will keep you posted!

UCLA
BIOMEDICAL LIBRARY

July 24, 1987

TO: Deans, Associate/Assistant Deans, Department Chairs, Section/Division Chiefs of the Schools of Dentistry, Medicine, Nursing, and Public Health, and the Departments of Biology and Microbiology; Biomedical Library Collection Development Advisors; Biomedical Library Advisory Committee, School of Medicine Library Committee and Recent Acquisitions List subscribers.

FROM: Alison Bunting
Biomedical Librarian

RE: Proposed Journal Subscription Cancellations

PROBLEM

As described in the April issue of the Biomedical Library's Recent Acquisitions List, and more recently in Science (v. 236: 908-909, May 22, 1987), the cost of scientific journals, especially those published in European countries, has risen dramatically in the past several years (30% in 1987; 16% projected for 1988). Concurrently, the value of the dollar against foreign currencies has fallen substantially. Since approximately 50% of our journal subscriptions are published abroad, this latter factor has greatly decreased our buying power.

In contrast to cost increases, University of California materials acquisitions funds have remained static; no price increases were received in 1986/87, and we expect only a 3% adjustment in 1987/88. Therefore, in order to stay within our anticipated 1987/88 budget allocation for library materials ($784,226) we must reduce our acquisitions expenditures by $300,000. We plan to reduce expenditures for books by half, from $200,000 to $100,000, and journal subscription expenditures by $200,000.

METHODOLOGY

In selecting titles for potential cancellation, the Biomedical Library's Collection Review Committee concentrated on duplicate subscriptions, reference titles, and, as a last resort, lower use unique journal titles. Attached for your consideration are four lists of proposed cancellations:

Biomedical Library Duplicate Subscriptions: Due to the high demand for these excellent titles, we have subscribed to second copies for improved access. We felt, however, that most of the high-priced second copies should be cancelled before unique titles. A number of lower priced and exceedingly heavily-used second copies have been retained.

Journal titles duplicated in other UCLA campus libraries: For the convenience of our users we had subscribed to many journals which are also available in other campus libraries. Again, we felt that this duplication should be eliminated prior to selecting unique titles. In an attempt to minimize the impact of these cancellations, we plan to expand our Document Delivery Service (DDS) to provide paging from other campus libraries. The list is arranged by broad subject categories for ease of review.

Reference titles: The enclosed listing includes indexes which are available elsewhere on campus, less-used indexes in our primary subject areas for which we can provide online access, and indexes in peripheral life and health sciences subject fields. Not included in this listing are approximately 64 individual directory-type reference titles to be cancelled which the reference librarians have agreed we utilize infrequently or for which occasional online access to the information is more cost-effective.

Unique titles: The savings generated by the first three categories of titles leaves us considerably short of our $200,000 goal. We therefore have no choice but to recommend cancellation of less-used unique serial titles. Each title on the list was examined in the stacks to record the number of times volumes circulated. Although circulation does not always reflect in-house use, library research has determined that circulation is a reliable predictor of total use.

This list is also arranged by broad subject categories. We recognize that most of the titles on the list are of importance to a research collection, but our limited budget leaves us with few alternatives. We will be able to obtain copies of articles needed from these, or any other journals which we do not own, from other libraries, albeit with a two week delay.

In addition to the journals listed on these pages, the medical history faculty are reviewing a list of history journals, and a group of library and information science titles have been tagged for cancellation.

ACTION NEEDED

Please circulate these listing among the faculty of your departments/divisions for comment. Additional copies of any of the lists are available for consultation at the Biomedical Library reference desk, or from my office. Please let me know, as soon as possible, and no later than August 21, 1987, if cancelling our subscription to any of the titles on the list would seriously jeopardize teaching and research responsibilities in your department/division.

UCLA BIOMEDICAL LIBRARY

CANCELLATION LISTS FOR JOURNAL SUBSCRIPTIONS

Contents

I. List for copy 2 or 3 holdings I-1

II. List for titles duplicated in other campus libraries

General II-1
Basic sciences II-3
Biology II-10
Behavioral sciences II-11
Public health II-15

III. List for abstracting and indexing services . . . III-1

IV. List of relatively low use titles

General IV-1
Basic sciences IV-2
General biology IV-7
Botany IV-9
Zoology IV-13
Veterinary medicine IV-17
Medicine IV-18
Dentistry IV-36
Public health IV-38
Behavioral sciences IV-39

15

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JOURNAL OF NERVOUS AND MENTAL DISEASE	105.00	EP
JOURNAL OF NEUROBIOLOGY	154.00	
JOURNAL OF NEUROCHEMISTRY	692.00	
JOURNAL OF NEUROPHYSIOLOGY	245.00	
JOURNAL OF NURSING EDUCATION	40.00	
JOURNAL OF PHYSIOLOGY	1080.00	
LANCET (COPY 3)	72.00	
METHODS IN ENZYMOLOGY	700.00	CH
NATURE (COPY 3)	250.00	UR

UCLA
BIOMEDICAL LIBRARY

September 21, 1987

TO: Deans, Associate/Assistant Deans, Department Chairs, Section/Division Chiefs of the Schools of Dentistry, Medicine, Nursing, and Public Health, and the Departments of Biology and Microbiology; Biomedical Library Advisory Committee; and School of Medicine Library Committee.

FROM: Alison Bunting
Biomedical Librarian

RE: Second List of Proposed Journal Subscription Cancellations

In late July I distributed for comment a substantial list of proposed Biomedical Library journal subscription cancellations; their cost amounted to approximately $140,000. Faculty from all the Schools and Departments served by the library requested that we retain subscriptions to many of the titles on the list. As much as possible we will try to maintain subscriptions to the unique titles requested by several faculty, and to a few journals duplicated in other UCLA campus libraries, if a primary focus of the duplicate title is in the health and/or life sciences.

You will probably recall, as I described in the cover memo on the July cancellation lists, that we must reduce our journal subscription expenditures by $200,000. These reductions are necessary due to the rising cost of scientific journals (30% in 1987; 16% projected in 1988), and the decline in the value of the dollar against foreign currency, coupled with our steady-state budget for materials acquisitions. After removing from consideration many of the titles on our July cancellation list, we are now about $80,000 short of our $200,000 goal. We therefore have no choice but to submit for your consideration this second list of proposed cancellations.

METHODOLOGY

As in the July list, when selecting titles for potential cancellation, the Biomedical Library's Collection Review Committee concentrated on duplicate subscriptions, reference titles, and, as a last resort, lower use unique journal titles. Unfortunately our first list covered almost all duplicate and reference titles that could be considered. Therefore the following pages contain mostly unique titles; when another UCLA library does own the journal, that fact is indicated in the entry. The list is arranged by broad subject categories. We will be able to obtain copies of articles needed from these, or any other journals which we do not own, from other libraries, albeit with a two week delay.

ACTION NEEDED

Please circulate these listing among the faculty of your departments/divisions for comment. Additional copies of any of the lists are available for consultation at the Biomedical Library reference desk, or from my office. Please let me know, as soon as possible, and no later than

October 9, 1987 if cancelling our subscription to any of the titles on the list would seriously jeopardize teaching and research responsibilities in your department/division. Departments and/or divisions submitting consolidated lists of comments are requested to indicate how many faculty are requesting retention of a particular title.

UCLA BIOMEDICAL LIBRARY

JOURNAL CANCELLATION LIST #2

Contents

General titles 1
Basic sciences 3
General biology. 9
Botany 11
Zoology. 14
Veterinary medicine. 18
Medicine 19
Dentistry. 34
Public health. 36
Psychiatry and behavior. 37
Nursing. 40

UCLA
BIOMEDICAL LIBRARY

December 21, 1987

TO: Faculty, Schools of Medicine, Dentistry, Nursing and Public Health, Departments of Biology and Microbiology, Biomedical Library Committees

FROM: Alison Bunting
Biomedical Librarian

RE: Completed Journal Cancellation List

Attached please find a copy of the completed journal cancellation list for the Louise Darling Biomedical Library. As you will recall, we embarked on this cancellation project because the cost of scientific journals, especially those published in European countries, has risen dramatically, the value of the dollar against foreign currencies has fallen substantially, and our materials acquisitions funds have remained relatively static. Two lists of proposed cancellations were circulated to faculty for comment in July and September. We were aiming for a budgetary savings goal in journal subscriptions of $200,000.

We sincerely appreciate the thorough review of the proposed cancellation lists conducted by many departments and divisions. As much as possible we tried to retain subscriptions to the unique titles requested by several faculty, and to a few journals duplicated in other UCLA campus libraries, if a primary focus of the duplicate title is in the health and/or life sciences. However, our budgetary savings target remains the same or may perhaps be even larger given the continued fall of the dollar, so in the end we had no choice but to proceed with the cancellation of the attached titles.

Several of you have expressed concern over the impact which these cancellations will most certainly have on the resources available to faculty, and potentially on the quality of research, teaching, and patient care at UCLA. We share these concerns, as does our campus administration, and I want to assure everyone that we have been seeking budgetary assistance from institutional resources. For example, the 1988/89 UC libraries budget request will include a 13.3% inflationary increase in materials funds.

However, for the immediate future the only financial assistance we can hope to obtain would be one-time funds, and since journal subscriptions require regular, annual support it is difficult to use special funds for their continuation. We will be carefully monitoring the impact of the journal cancellations over the next year, and as soon as feasible will reinstate any subscriptions which our faculty and students sorely need. We are also redoubling our efforts to obtain donated subscriptions from faculty, and have been gratified by the response thus far.

Thank you again for your input on the proposed cancellations, and your expressions of support and concern. The Louise Darling Biomedical Library is one of the premiere libraries in the nation, and we are determined to retain this standing.

cc: Russell Shank
Karin Wittenborg

RIVERSIDE: THE UNIVERSITY LIBRARY
RIVERSIDE, CALIFORNIA 92517

University of California, Riverside

March 7, 1988

ACTING EXECUTIVE VICE CHANCELLOR PERKINS

Dear Van,

You asked me to provide you with an analysis of the journal pricing problem, and suggest steps the University of California might take to alleviate it. I hope the following will be of use to you in your discussions with the other Vice Chancellors. I will outline the nature of the problem and suggest a short-term strategy for moderating its effects in order to gain the time to explore a long-term solution.

Librarians have long been concerned about the recurring costs of journal subscriptions. Over the last fifteen years, however, the cost of journals, particularly in the hard sciences, has escalated out of proportion to the funds available to pay for them. Now every U.C. campus spends the majority of its book funds on journals, with a disproportionate amount going to scientific publishers. U.C. Riverside spends 51% of its book budget on journals. That is up from 40% last year, and will probably exceed 60% next year. Monographic series are of equal concern; so in what follows, I will use the term serials to include both journals and monographs published in series.

SERIALS COSTS AS PERCENT OF BOOK ALLOCATION

Berkeley	59
Davis	65
Irvine	68 *
Los Angeles	61+*
Riverside	58
San Diego	73
San Francisco	80
Santa Barbara	56 *
Santa Cruz	67

(* = journals only) (source: U.C. Collection Development Officers)

A broad disciplinary breakdown is indicated by UCR's expenditures by library (for non-reference journals only):

Library	Titles	Cost	Average Cost
Rivera	2142	$162,976	$ 76.09
Bio-Agricultural	896	179,891	200.77
Physical Sciences	355	153,229	431.62

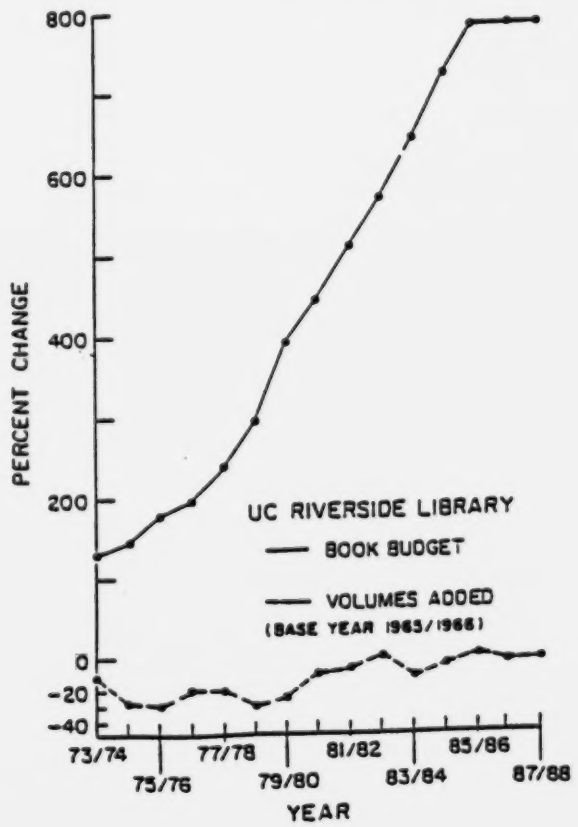
As the budget share for serials increases, less is available for other materials. Thus at Riverside our ability to buy individual books, retrospective materials, microforms, reprints, nonbook media, duplicate copies,

UNIVERSITY OF CALIFORNIA — (Letterhead for interdepartmental use)

and rare books has been seriously eroded. This year we stopped purchasing in most of those categories in December, before the fiscal year was half over; monograph purchases are off one third compared to last year. The situation at the other campuses is similarly worrisome.

Consumption of the book budget by serials has an unbalancing effect on collection development. Disciplines which rely most on monographs and older materials are disadvantaged; these include most of the humanities and social sciences. Within the sciences, particular subdisciplines suffer. In all areas, few new titles are added because of the demands of ongoing subscriptions.

In some years U.C. book budgets have increased sufficiently to compensate for journal inflation. From 1984 to 1987, however, journals inflated 36.8% while the book budget increased only 7.5%. Even if the 13% budget increase in the Governor's budget for 1988-89 is funded, the picture will improve little, for overall book and journal inflation for 1987-88 has already exceeded the increase. Since 1973/74, the UCR book budget has increased fourfold, but the number of volumes added has remained constant:



Nature of the Problem

What is driving this inflation? Foreign publishers attribute it to the falling value of the dollar. During the recent acceleration of serial costs, the dollar has indeed weakened, and prices have risen spectacularly. But prices also rose when the dollar was strengthening a few years ago. The dollar is, overall, at about the same exchange value as in 1981; since then prices have risen considerably faster than general inflation. Over the long term, currency fluctuations have had a small net effect on buying power, though some foreign publishers do manipulate the exchange rates to their advantage. But even during the recent inflation, most of the impact on the book budget has resulted from price increases rather than real weakening of the dollar.

A number of studies have examined the pricing history of major journals. These analyses indicate that a few dozen publishers are responsible for most of the current cost and/or inflation. These publishers (see Appendix I) are based in America and Northern Europe, and most specialize in scientific journals, with chemistry and the life sciences predominating. Within a given publisher's list, a small number of titles account for a large proportion of the inflation. They are commercial rather than university-based (with the exception of Cambridge) and most are subsidiaries of companies engaged primarily in businesses other than publishing.

At UCR, the average cost of a book is $30.40, that of a journal $146.21 per year. But 110 journals cost over $1,000 each. These journals, of which 90 are published by the firms just alluded to, cost a total of $245,000. Thus 1% of our titles account for 25% of our journal expenditures.

Appendix II traces the cost of 33 representative journals from 1981 through 1987. Even allowing for changes in currency rates and content, these journals increased in price an average of 185% in six years, compared to a general inflation of 32% (U.S.).

Origin of the Problem

The traditional image of the scholarly publisher lingers in the minds of many scholars. Until the 1960s, commercial interest in scholarly materials was limited; university presses played a primary role in the dissemination of those materials. Commercial scholarly publishing houses tended to be family-owned firms managed by people with academic interests and credentials. Historically they were committed to academic publishing, and worked on comparatively small profit margins. Many scholarly journals were published by (as opposed to <u>for</u>) academic societies and associations.

This picture began to change in the post-Sputnik era, when both scholarly publishing output and library budgets increased substantially. The former overwhelmed the capacity of university presses, while the latter became an attractive lure for commercial publishers. The combination brought new publishers, and publishers new to the academic market, into the field. During the 1960s, libraries greatly expanded their serial holdings. Many publishers took advantage of this by expanding their lists. They branched off into increasingly narrow subdisciplines, parallelling (but to a greater extent) the

growing specialization within academia.

In the early 1970s, retrenchment -- some would call it reality -- set in. Book budgets were frozen or reduced. Libraries reduced their purchases of new serials and began to cut current ones. In response, publishers changed their strategy. While continuing to push new titles, they placed increased emphasis on raising the profits of subscriptions they already had. Thus began the current wave of inflation, which has increased over fifteen years and particularly over the last four.

As the profits of commercial publishers rose, major international holding companies bought into the market. After fifteen years of consolidation, we now find that most of the major publishers are owned by a few multinationals. These companies are aggressively acquiring not only publishing houses but also telecommunications providers, database compilers, and other segments of the information industry in general. At the same time, commercial publishers have taken over the operational end of association publishing, offering convenience and a share of the profits. In many disciplines, the main association publications are now priced comparably with those of purely commercial origin, and incorporated into the publishers' overall marketing strategy.

The publishers' lobbying organizations are strong and active, and have played a major role in legal and governmental changes favoring the "privatization" of once-public information sources, and also in increasingly restrictive copyright protection for their products.

Numerous publishers charge libraries higher rates than individuals, and U.S. libraries higher rates than those in other countries. Foreign publishers often insist that libraries pay in whatever currency is strongest at the time. When the dollar was overvalued recently, our subscription agents offered to buy foreign journals for us in the home currencies. But some large publishers required the agents to supply customers' addresses, and refused to accept payment for American customers except in dollars. Now that the dollar has weakened, Pergamon, for example, which publishes in England and the U.S., requires payment in Deutschmarks from libraries in most countries.

These publishers know their market well and take full advantage of it. They have discovered that library procedures and files are biased in favor of continuing orders, so they publish most of their monographs as numbered series. Cancellation or interruption of numbered series is not only procedurally inconvenient, but goes against the grain for librarians and generates resistance from faculty. They often publish the same series volumes under different titles in different countries, so libraries unknowingly purchase multiple copies.

This is not to imply any wrongdoing on the publishers' part. They are simply following the money, as their shareholders expect them to. If faculty are sometimes shocked to discover what we're paying for the journals they request, it's because their knowledge of the market hasn't caught up with the times.

The British Printing & Communication Corp., in a 1986 proposal to shareholders to acquire Pergamon Journals Ltd., cited the following

attractions:

> Historically, libraries have been concerned with the quality of the contents of journals, with the price being of lesser importance...
>
> Prospects for future growth continue to lie in the introduction and establishment of new titles... So long as their quality is maintained, there is little risk of them losing circulation to newly launched journals in the same field...
>
> In 1985... prices were increased well above the rate of inflation without repression of sales volumes whilst increases in production costs were kept within the rate of inflation.[1]

This proposal projected Pergamon's 1985 pre-tax profits as £23,700,000 on a gross income of £49,000,000. (UCR subscribes to 121 Pergamon journals, at a cost of $43,000.)

When challenged, publishers respond (1) that their own costs have skyrocketed, and (2) that they are publishing more volumes in each journal and therefore giving us more for our money. The first claim is contradicted by their own words, in the case of Pergamon, and by available information on the costs of publishing and marketing journals. Automation has reduced the cost differential for scientific publishing in recent years. The raw material, in the form of contributed articles, is free, while the customer is required to pay in advance.

Systematic analysis of publishing and pricing data rebuts the second claim. An example will illustrate the lengths to which a publisher will go to camouflage a price hike.

An Example

Early Child Development and Care is published in London by Gordon & Breach. Since 1977 its library price (twice the personal price) rose from $55 (1977) to $304.80 (1986), then jumped to $462 in 1987 and to $1,080 in 1988.

The publisher can claim to have done subscribers a favor, since the title will include twelve volumes in 1988, rather than the three published last year, and at a cost reduced from $154 per volume to $90. This would appear to support an argument that we're getting more for our money.

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[1] Source: "British Printing & Communication plc Profit Estimate for year ended 31st December, 1985, and Proposed Acquisition of Pergamon Journals Limited."

A close examination of 1987 and 1988 issues and invoices reveals a different picture. ECDC will publish twelve issues this year, as it has in other recent years. But whereas previously four issues were considered a volume, this year the publisher has redefined each issue as a volume. The most recent piece received this year is labeled "Volume 31, Numbers 1-4 (1988)". In fact it is a single issue, containing seven articles in a total of 76 pages. This "volume" is not divided into numbered issues 1 through 4 in any sense except for the statement on the cover.[2]

The issues received so far suggest that the actual number of pages published in 1988 will be about the same as last year. The price per page, in that case, will have risen from $ .27 to $ .58.

Attempted Solutions

Librarians have been aware of the changes in the journal publishing world since they began, but attempts to deal with them have not succeeded.

In the mid-1970s, when serials inflation began to escalate, there was serious discussion of a National Periodicals Center, intended to collect journals comprehensively and sell copies of articles on demand. The idea bogged down in governmental and library politics long enough for the information industry to shepherd through a new copyright act which greatly restricts library photocopying.

Major libraries formed committees to cancel journal titles; these committees are still active, and many individual research libraries have canceled hundreds or thousands of titles. However, cancellations are painful. It is difficult to find a journal which no academic department considers important. Journal committees generally take the path of least resistance, with the result that most of the titles canceled are of low cost (and mainly in the humanities and social sciences), with little overall effect on the book budget.

Leading university librarians have communicated their displeasure to publishers and their professional organizations. This has had no significant effect. There is little incentive for the most profitable publishers to alter course while the present one is so rewarding. Some publishers have announced temporary suspensions of dollar price increases, during which they have dramatically raised prices in other currencies. This has reduced the U.S. surcharge, but not U.S. rates. Once non-dollar prices reach parity with ours, the escalation proceeds for all buyers.

Libraries have tried to bring their collective weight to bear through their peer organizations, such as the Association of Research Libraries, the American Library Association, etc. These bodies are traditionally cautious and slow to act, however. ARL has been discussing the problem for many years, but

---

[2] "Volume: the collective issues of a periodical that constitute the whole or a consecutive part of a definite publishing period" (ALA Glossary of Library and Information Science. Chicago: American Library Association, 1983, p. 240).

its net action to date consists of a $200 membership assessment this year for a study of the problem.

Libraries have attempted to share the burden through a variety of cooperative networks. Automated systems such as OCLC and RLIN enable groups of libraries to know each other's holdings easily, and to transmit requests for photocopies. These consortia have had some success, but, again, the subscriptions canceled or avoided have tended to be inexpensive or few in number, so that the net effect on the budget has been slight.

Reason and resource-sharing having failed to solve the problem, librarians have successfully used inflation studies to justify continued budget increases. Ironically, these efforts, when successful, have been noted by publishers as support for their underlying assumption that library budgets are expandable. Success in fund raising has led inexorably to accelerated inflation. This trend will continue indefinitely, since it is abundantly clear that contemporary academic publishing prices are driven by the availability of library funds rather than the costs of publishing. The major journals are high-demand products available only from unique sources, and most of those sources are controlled by a few parent firms. In such a marketplace, the consumer cannot win.

None the less, there are some steps we can take to reduce the rate of rise of our serials costs.

Sources of Short-Term Relief

First, as recommended recently by the joint meeting of the Senate Library Committee and Library Council, the Office of the President should appoint a committee along the lines of the Library Automation Review Committee to formulate a strategy for short- and long-term responses to the serials problem. This committee should include representation from faculty, libraries, administration, and the University Press. In its charge should be the specification of analytical data on serials costs and cost trends for uniform collection by the campus libraries. It should coordinate the execution of steps such as those outlined below, and others yet to be identified.

Second, the faculty needs to be made aware of the magnitude of the problem, of its effects on their access to library materials, and of the extent to which serials inflation is distorting the dissemination of scholarly literature among disciplines and to the detriment of book acquisitions. They should be informed frankly of the profit-taking approach to publishing now being pursued by major publishing houses. Faculty editors of commercial journals (many of whom are well paid for their services) can be better educated about the drain their publications are putting on library budgets. Officers of learned societies which have contracted out their journals should also be made aware of the situation.

Third, the University should catch the attention of the publishers in question by protesting their practices at the highest level. Up to now, reaction against hyperinflation has come almost exclusively from librarians, who are regarded by publishers as unwilling to take risks and without a voice in

overall university affairs. Given the size of our book budget, a communication from the President, with a simultaneous statement from the Senate, would make even the larger publishers take notice, and would make it clear that our concerns have gone beyond the walls of the library.

Fourth, U.C. may be able to quietly negotiate better prices from individual publishers. There is strong evidence that a few other institutions have already done this. Until the practice is publicized or becomes widespread, it offers a potential source of temporary budgetary relief.

Fifth, the University should use its buying power to send a strong message to unresponsive publishers. The fact that the overchargers tend to concentrate their inflation in a few titles may make them vulnerable, since a small number of well-considered cancellations would cost them a large part of their increased income. U.C., unilaterally and in concert with other universities, could target a few titles of a few publishers for coordinated cancellation. This would get the message across that something is going to give, generating caution among those and other publishers who would fear to wake what they regard as a sleeping giant. A number of universities are already discussing a joint strategy; a preliminary opinion from the General Counsel's office indicates no bar to such a tactic.

A salutary approach might be a suitably-placed announcement that U.C. had instructed its libraries to make the pricing practices of publishers a major consideration in collection development decisions for journals. Timed to coincide with the point in the publishing year when prices for the next year are set, such an announcement would provide an incentive for any publisher to restrain his increases for that year to avoid standing out as an attractive target.

U.C. has significant leverage in the journals market owing to its combined book budget; at the same time, it remains a single corporate entity as far as trade and copyright laws are concerned. This places us in an unusually powerful position in terms of serial cancellations. A publisher cancellation program, like many another strategic deterrent, could be successful even if not actually undertaken. In a clear case of publisher deception, legal action should also be considered.

Sixth, the committee should evaluate new methods of access to journals for U.C. library users. Use studies show that most articles in scholarly journals are seldom or never read or cited. Individual copies of selected articles can generally be obtained through on-demand access services. In addition, U.C. has the means, through its unique intercampus delivery system, to share resources within U.C. in ways which have would not work elsewhere.

The University could engage expeditiously in a program of selective cancellation of subscriptions which are held in several U.C. libraries, relying instead on intercampus delivery of journal issues or of copies of individual articles received in two locations, one in the north and the other in the south. These locations would be the regional facilities or campus libraries.

The ideal journal for this form of access would be one with multiple

subscriptions, infrequent use, high price, high inflation, and the future likelihood of excessive cost based on the publisher's record and the title's history. Many such journals are in high demand, but I believe there would be considerable savings in a thoughtfully structured program. Selection of titles for the program would follow the practices of the Collection Development Committee of Library Council in making purchases from the Shared Purchase Fund, and would include appropriate faculty input at the title-by-title selection level.

To make article-level access palatable for researchers, telefacsimile facilities should be installed in campus libraries and in the regional facilities. Telefacsimile provides immediate transmission of copies, and the cost of the equipment is small considering the potential savings. The same delivery systems used for moving articles and copies could be used to circulate contents information to interested faculty.

The Long-Term Prospect

The steps outlined above, or others arising from the discussions might reduce the slope of serials cost increases for the University. They at best give us breathing room. Journals costs will continue to rise disproportionately. The comparatively few publishers responsible for the problem now will be joined by others who notice the increasing profit potential. Eventually, we will be forced to choose among alternatives which now seem unthinkable.

We could continue to pay the asking price for the most important journals, while reducing our journal coverage to a few select titles and eliminating most purchases of books and other formats. This outcome is unavoidable if current trends continue and we do nothing.

Or, we could get out of the journal collecting business, and let individual researchers (who are beneficiaries of current publishing methods) acquire their own copies. But this would eliminate the economies of joint collecting which libraries were created to pursue (and which publishers seem bent on terminating).

Alternatively, we can get into the publishing business ourselves. The existence of a commercial stop in the publishing stream is arguably an unnecessary historical anachronism. Now that publishing is highly automated, and authors use computers to prepare their manuscripts, there may be no technical or economic reason for the research community to continue to avail itself of commercial publishers' services.

It seems to me that when the for-profit publishers gained control over scholarly publishing, and were themselves taken over by the megacorporations, a primary asset of academia -- scholarly information -- was converted from an asset into a liability. The information which we and our colleagues in the private and governmental research community discover and produce should, in principle, add to rather than detract from our corporate well-being. Yet, perversely, the cost of reacquiring this internally produced information is threatening the continued success of our research and instruction, owing to the

profiteering of a segment of the process with interests which are in conflict with our own.

I submit that the time is right for the University, by itself and in cooperation with others, to take a major competitive role in journal publishing and in the dissemination of scholarly information in general. A final charge for the committee suggested above would therefore be to explore the many ramifications of such an initiative and to set an agenda for its development.

Sincerely,

James C. Thompson
University Librarian

Appendix I
Forty-seven Expensive Publishers

	Average Cost per Subscription
ABC-Clio	$ 993.00
Academic Press	$ 353.08
Allerton Press	$ 463.33
American Chemical Society	$ 339.95
American Institute of Physics	$ 712.91
American Mathematical Society	$ 569.64
Biochemical Society	$ 609.80
Biosis	$1,524.00
Birkhouser Boston, Inc.	$ 218.64
Blackwell Scientific Publications, Inc.	$ 200.92
Bowker	$ 180.44
Butterworth	$ 212.88
Cambridge University Press	$ 200.47
Cambridge Scientific Abstracts	$ 482.55
Commonwealth Agriculture Bureau	$ 331.17
Congressional Information Service	$4,975.00
de Gruyter	$ 226.14
Dekker	$ 373.29
Dunn & Bradstreet	$ 577.73
Elsevier	$ 512.07
Gale Research Company	$ 319.14
Gordon and Breach (inc. Harwood, Academic STBS.)	$ 675.58
HMSO	$ 473.14
IEEE	$1,361.00
Institute for Scientific Information	$1,561.50
Institute of Electrical Engineering	$ 967.00
Karger	$ 301.41
Kluwer	$ 250.45
Liss, Alan R.	$ 655.00
Masson	$ 155.27
Muunskgaard	$ 279.40
Oryx Press	$ 505.20
Paul Parey Verlags Buchhandlung	$ 277.92
Pergamon Press Inc.	$ 353.67
Plenum (inc. Plenum Consultants Bureau)	$ 478.97
Predicasts	$ 660.00
Prentice-Hall	$ 435.50
Royal Society of Chemists	$ 320.50
Schweizerbartche	$ 446.58
Sharpe, M.E.	$ 198.13
Springer-Verlag	$ 846.67
Standard & Poors	$ 360.13
Taylor & Francis	$ 342.17
University Microfilms (indexes only)	$ 485.56
VCH Pubs., Inc.	$ 337.80
Wiley, John (inc. Scripta)	$ 316.04
Wilson, H.W.	$ 761.50

Source: Louisiana State University

APPENDIX II

JOURNAL PRICE INCREASES 1981-1987

	TITLE	1981 PRICE	1987 PRICE	CURRENCY	% OF CURRENCY CHANGE	ADJUSTED 1987 PRICE	ADJUSTED % OF CHANGE	PRICE/ PAGE 1981	PRICE/ PAGE 1987	ADJUSTED PRICE/ PAGE	ADJUSTED % OF CHANGE
1	BEHAVIOURAL BRAIN RESEARCH (Elsevier)	$85.00	$467.74	Dfl	4.52%	$446.60	425.41%	$0.10	$0.41	$0.39	297.18%
2	BIOFEEDBACK AND SELF-REGULATION (Plenum)	$49.00	$135.00	$		$135.00	175.51%	$0.08	$0.53	$0.53	562.50%
3	BIOLOGICAL PSYCHIATRY (Plenum)	$95.00	$320.00	$		$320.00	236.84%	$0.08	$0.22	$0.22	175.00%
4	Cancer Genetics And Cytogenetics (Elsevier)	$66.00	$684.00	$		$684.00	936.36%	$0.09	$0.46	$0.46	411.11%
5	CELLULAR AND MOLECULAR NEUROBIOLOGY (Plenum)	$50.00	$135.00	$		$135.00	170.00%	$0.12	$0.32	$0.32	166.67%
6	COMPUTERS AND STRUCTURES (Pergamon)	$199.00	$808.00	DM	25.10%	$605.19	204.12%	$0.15	$0.43	$0.32	107.79%
7	DIFFERENTIATION (Springer)	$293.00	$687.00	DM	25.10%	$514.56	88.48%	$0.57	$1.35	$1.01	77.74%
8	Engineering Fracture Mechanics (Pergamon)	$183.00	$713.00	DM	25.10%	$534.04	191.82%	$0.13	$0.43	$0.32	137.46%
9	Gynecologic Oncology (Academic)	$120.00	$312.00	$		$312.00	160.00%	$0.30	$0.39	$0.39	30.00%
10	HEARING RESEARCH (Elsevier)	$89.00	$544.35	Dfl	4.52%	$519.75	483.98%	$0.12	$0.45	$0.43	244.71%
11	IMA Journal of Applied Mathematics (Academic)	$141.00	$405.00	Br. pounds	-19.24%	$482.92	242.50%	$0.28	$0.77	$0.92	221.75%
12	Int'l Journal of Immunopharmacology (Pergamon)	$55.00	$200.00	DM	25.10%	$149.80	172.36%	$0.14	$0.20	$0.15	7.07%
13	International Journal of Radiation Oncology, Biology, Physics (Pergamon)	$170.00	$460.00	$		$460.00	170.59%	$0.10	$0.21	$0.21	110.00%
14	JOURNAL OF BEHAVIORAL MEDICINE (Plenum)	$36.00	$135.00	$		$135.00	275.00%	$0.08	$0.22	$0.22	175.00%
15	Journal of Comparative Economics (Academic)	$43.00	$105.00	$		$105.00	144.19%	$0.10	$0.16	$0.16	60.00%
16	JOURNAL OF FINANCIAL ECONOMICS (Elsevier)	$73.76	$386.35	Swfr	17.27%	$319.63	333.33%	$0.18	$0.38	$0.31	75.06%
17	Journal of Infection (Academic)	$47.00	$122.00	Br. pounds	-19.24%	$145.47	209.52%	$0.12	$0.38	$0.45	270.27%
18	JOURNAL OF MULTIVARIATE ANALYSIS (Academic)	$81.00	$246.00	$		$246.00	203.70%	$0.13	$0.36	$0.36	176.92%
19	Journal of Neuroimmunology (Elsevier)	$87.00	$459.67	Dfl	4.52%	$438.89	404.47%	$0.18	$0.65	$0.62	251.00%
20	JOURNAL OF NEUROLOGY = ZEITSCHRIFT FUR NEUROLOGIE (Springer)	$140.00	$360.00	DM	25.10%	$269.64	92.60%	$0.24	$0.96	$0.72	198.93%
21	JOURNAL OF NUMBER THEORY (Academic)	$81.00	$300.00	$		$300.00	270.37%	$0.14	$0.82	$0.82	485.71%
22	JOURNAL OF AUTONOMIC NERVOUS SYSTEM (Elsevier)	$85.00	$443.54	Dfl	4.52%	$423.49	398.23%	$0.09	$0.43	$0.41	370.52%
23	LANGUAGE AND COMMUNICATION (Pergamon)	$35.00	$100.00	DM	25.10%	$74.90	114.00%	$0.12	$0.30	$0.22	82.26%
24	LINEAR ALGEBRA AND ITS APPLICATIONS (Elsevier)	$324.00	$923.00	$		$923.00	184.88%	$0.18	$0.22	$0.22	22.22%
25	MICROCHEMICAL JOURNAL (Academic)	$73.00	$178.00	$		$178.00	143.84%	$0.12	$0.46	$0.46	283.33%
26	MOLECULAR IMMUNOLOGY (Pergamon)	$177.00	$441.00	DM	25.10%	$330.31	86.62%	$0.16	$0.32	$0.24	47.41%
27	Nutrition Research (New York, N.Y.) (Pergamon)	$75.00	$215.00	DM	25.10%	$161.04	114.71%	$0.12	$0.15	$0.11	-6.44%
28	Pediatric Radiology (Springer)	$90.00	$209.00	DM	25.10%	$156.54	73.93%	$0.19	$0.40	$0.30	60.33%
29	PROGRESS IN SURFACE SCIENCE (Pergamon)	$79.00	$378.00	DM	25.10%	$283.12	258.38%	$0.21	$0.37	$0.28	31.67%
30	PSYCHONEUROENDOCRINOLOGY (Pergamon)	$80.00	$200.00	DM	25.10%	$149.80	87.25%	$0.22	$0.39	$0.29	36.12%
31	SEX ROLES (Plenum)	$98.00	$295.00	$		$295.00	201.02%	$0.08	$0.39	$0.39	387.50%
32	Thermochimica Acta (Elsevier)	$328.00	$1,300.00	Dfl	4.52%	$1,241.24	278.43%	$0.11	$0.24	$0.23	116.89%
33	Ultramicroscopy (Elsevier)	$67.00	$339.00	$		$339.00	405.97%	$0.06	$0.33	$0.33	450.00%
	MEAN:	$111.36	$394.14			$357.99	240.46%	$0.15	$0.43	$0.38	185.48%

										U.S. Inflation 1981-1987	32.21%

NOTE: Journal titles appearing in ALL CAPITAL LETTERS have U.C. faculty on the editorial board.

Source: UC San Diego
Rev. UC Riverside
3/04/88

Collections and Services Division
University of Florida Libraries
Collection Management Bulletin No. 3
December 23, 1987

Serials Evaluation Process

NEED:

The selection, evaluation, and deselection of serial titles is fundamental to any collection management program. Given the library's mission to support the research resource needs of the University's academic program, the selection or deselection of a serial title is a serious effort on the part of a selector to match faculty and student needs with available library resources. Selectors, in reaching decisions to purchase, maintain, or cancel a serial title, need to consider academic program priorities and determine, in collaboration with the faculty, whether a particular title adequately fulfills a perceived need of a particular academic program or programs in relation to other titles available. The selector needs to locate the title in the collection where it will be most convenient for the user, select reference tools which will make its contents accessible, and recommend which particular acquisitions account should shoulder the burden of maintaining the title.

The current serials universe, of course, is in a constant state of change--titles flow into and out of existence, new formats emerge with new technology, an academic program alters its focus, and some serials achieve academic respect while others lose respect. Practically all possibilities for human change are reflected in a library's current serials holdings list. Serial evaluation, therefore, is not an occasional task for a selector but an ongoing management responsibility. The selector needs to be aware of academic program changes, changes in the content of a serial publication, changes in the library's resources, changes in the serials bibliographic universe, and changes in bibliographic control and access to the current and retrospective serials universe. Once aware, the selector should make the best possible decisions which balance the academic program needs against the resources available. In other words, the selector should manage the serials collection(s) in his or her area of responsibility. This serials evaluation process is an attempt to associate particular serial titles with particular academic programs and, finally, with particular acquisitions accounts. It is meant to establish a foundation for the ongoing serials evaluation work undertaken by selectors.

The cost of maintaining the UF Libraries' current serials collection, which is now received in paper, electronic, and microform formats, is increasing at a rate which exceeds the annual increase in the materials budget allocated by the state. Consequently, a significant portion of the materials budget is committed, especially in the Sciences, prior to the beginning of the fiscal year. Not only does this situation jeopardize the selector's ability to place firm orders for important materials or to purchase important new serial titles but, given the current instability of the US dollar and extraordinary control over prices by a small group of European publishers, the Library is in danger of losing its ability to control its expenditures in support of the academic program. Maintenance of the serials collection, in terms of binding, repair, replacement, storage and preservation, is expensive. These costs consume approximately seven percent of the materials budget, a significant part of the overhead budget, and they are expected to rise to ten percent of the materials budget during the next several years.

This call for serials evaluation primarily encourages effective management of the serials collection. It is a call to review titles currently collected by the library to ensure that these titles are needed by the academic programs; to determine whether new titles ought to be added and what resources will be needed to collect these new titles; to determine if the appropriate acquisitions accounts are supporting currently received titles; and to determine if current titles are under appropriate bibliographic control and located in the appropriate collections.

ASSUMPTIONS:

A) The Libraries' materials budget will not be sufficient to cover the cost of all needed current serials during the next five years.

B) The current serials list contains titles which are no longer needed to support the academic program.

C) Resource Sharing programs offer a viable alternative to ownership for a significant number of current serial titles.

D) The Libraries should expend their binding and preservation funds on materials which are important and permanent components of the collections.

E) It is possible to establish criteria by which the importance of a particular current serial title can be judged relative to other titles in a particular current serials bibliographic universe.

F) It is possible to establish criteria by which the importance of a particular academic program can be judged relative to other academic programs offered by the University.

G) If a title primarily supports a particular subject the cost of the title should be born by the fund allocated in support of the subject.

H) The Library should add new serial titles to meet the current needs of the University's academic program.

OBJECTIVES:

A) Create preliminary guidelines for each fund which establish appropriate ratios for dividing monographic and serial allocations.

B) Determine a priority ranking for each serial title, in all formats, so that titles charged to a particular fund are rated relative to their importance to the University's academic program which the fund supports.

C) Develop a list of current serial titles which can be cancelled, because they are no longer needed or because resource sharing offers a viable alternative for user access or because the fund can not continue to support the title.

D) Review serial titles held by associated accounts to determine locally defined "primary collecting responsibilities" (PCR's) and assemble appropriate titles into appropriate accounts.

E) Create a list in priority order of current serial titles, on a fund by fund basis, which ought to added to the collection.

F) Determine a serials budget for each fund for the 1988/9 fiscal year based on preliminary guidelines for dividing monographic/serials budgets, savings from cancellations, cost of new titles, anticipated cost of continuing the current serials already taken, and anticipated state allocations.

STRATEGIES (Suggested):

A) Review the June 22, 1987 list of serials attached to each fund and determine a preliminary priority of importance relative to the current and anticipated academic program(s) supported by the title.

B) Review the June 22, 1987 list of serials received but not paid for in fiscal 1986/7 and integrate appropriate titles in the preliminary priority of importance relative to the academic program.

C) Recommend and negotiate transfer of particular paid titles to particular funds in order to develop a "primary" attachment to a particular fund for each current serial title.

D) Assemble a "clean" list of fund titles in priority order, and relate to the RLG Short Term Serial List.

E) Determine the cost of the current serials titles attached to the funds and establish how much the total anticipated cost will go either above or below the standard serials percentage allocation in the fund. The preliminary standards being:

Arts/Architecture/Humanities	45%
General and Area	50%
Sciences, Technology, Agriculture	90%
Social Sciences	60%

F) Determine an estimated cost for the current serials next fiscal year if the price of the serial increases as follows:

Domestic	10%
UK	20%
Western European	35%
Japan	35%
Other	10%

G) Determine the necessary cut, based upon no increase in UF budget, a 5% increase in budget, and a 10% increase in budget, which needs to be made to keep the serials budget within the preliminary budget division ratio.

H) Create a list of current serial titles which ought to be added to the collection.

I) Determine the priority of the items to be added against the items to be cut.

J) Determine the cost of adding the new titles.

K) Select the titles you would cut and add to bring the fund into balance, determining if resource sharing is involved in the decision; e.g. the RLG Short Term serial project list.

L) Submit a list of cuts and additions which will maintain the preliminary ratio divisions between the monographic and serials allocations for each particular account.

M) Propose, if necessary, a workable ratio for dividing an allocation between monographic and serial accounts, along with a list of cancellations and additions which will bring the fund into balance under the proposed ratio. No fund should exceed 90% for serials.

N) Review the proposed cuts and additions, including resource sharing possibilities, with the appropriate faculty and against ILL statistics.

O) Submit necessary forms to implement changes.

P) Submit budget request for serials portion of the fund.

BUDGET TIMELINE:

The budget timeline for the serials evaluation process will be preliminary budget requests by the end of February and final budget requests by the end of June.

ADDITIONAL INFORMATION AND GUIDELINES:

1. Because most periodical invoices have been paid by December, requests to cancel or transfer purchase responsibility to another account of a periodical title will be accepted and reviewed on a continuing basis but approved changes will probably not take effect until the next billing cycle.

2. If a title recommended for cancellation by one account is "claimed" by another account, the claiming account will assume responsibility for payment.

3. If a title is to be maintained but the PCR is transferred from one account to another, then the cost of the title will be transferred with the PCR.

4. Subject funds should be used to purchase all materials in all formats, including reference tools, in support of a particular academic program.

5. General/Reference funds, including monographic and serial allocations, are established for the following areas:

   Architecture/Fine Arts
   Education
   H&SS General
   Humanities
   Music
   Sciences
   Social Sciences

   These funds should support only those titles which can not be related to a particular subject account; i.e. a title for which no PCR can be established because a wide variety of users attached to various academic programs within a broad discipline area make use of the same title.

6. Regardless of where an item is placed in the collection, if it is purchased in support of a particular subject it should be purchased by the subject account; i.e. several titles for the Journalism and Communications program will be located in AFA because reference support tools are available in this location but the title will remain attached to the Journalism account. When a selector purchases a serial title which fall under the curatorial management of a bibliographer in charge of another broad discipline area, the selector must coordinate with and gain approval for the proposed shelving location from the bibliographer in charge of managing the collection.

7. The area bibliographers and funds should support the acquisition and management of materials in support of Africa, Latin America (mainly in the social sciences and humanities disciplines), Florida History, and Judaica.

8. The Documents fund should support the acquisition of federal, state, local, foreign, international documents and access tools in support of documents regardless of the location of material in the collection. Any fund may purchase documents and access tools in support of documents, but these purchases should be coordinated with the documents bibliographer.

9. The Cartographic Materials Fund will be expended on items which are housed in the Map Library. Cartographic materials to be housed in the Map Library, however, may be purchased against any fund and these purchases should be coordinated with the Cartographic Materials bibliographer.

PROCEDURES:

Cancellations: (Use Form CM-SE-1 Cancellation Request)

1. When a selector has completed the necessary research and decides that a particular serial title charged against his or her fund is no longer an appropriate expenditure, s/he should complete the serial cancellation request form and have it reviewed and signed by the bibliographer. Before a selector recommends cancellation to the bibliographer, the selector should consult with the appropriate faculty, check ILL records for use, determine why the title is no longer useful, review the library holdings, and determine where the title is held by other libraries in order to ascertain research resource sharing possibilities. A decision to cancel a current title does not necessarily mean, of course, that the entire run should be withdrawn, although the selector should be prepared to make this decision.

2. The completed form, after it is been signed by the appropriate bibliographer, should be sent to the Associate Director for Collections & Services (ADC&S), who will send it to the Serials Section in Acquisitions to have price and holdings information verified. The form will be returned to the ADC&S by the Serials Section.

3. When the form is returned, the ADC&S will send copies to all bibliographers, including the Health Sciences Library and the Legal Information Center, who will distribute the information to selectors and have thirty days to comment on the cancellation or "claim" the title. Each bibliographer will have an opportunity to comment on the request even if a "claim" is not involved. It is understood that if a title is "claimed" the cost of continuing the title will be shouldered by the account claiming the title the next time the title is received or renewed. If a selector and bibliographer decide to "claim" a title, they will return form CM-SE-1-Cancellation Request with the CM-SE-2-Cancellation Claim Request form attached.

4. Those titles not "claimed" during the review period will be sent, after final review, to the Serials Section with a request to cancel.

5. Those titles "claimed" will be sent to Serials Section for transfer to the new account.

6. The fund proposing the cancellation will retain the funds saved.

Account transfers: (Use Form CM-SE-3-Account Transfer Request)

1. When a selector determines that a title attached to a particular fund primarily supports another subject or area discipline and, therefore, establishes the need for a new PCR, then the selector should coordinate and negotiate the PCR transfer with the appropriate bibliographer and complete Form CM-SE-3-Account Transfer Request. It is understood that the funds supporting the title will move to the account accepting the PCR.

2. The completed form should be sent to the ADC&S, who will send the form to the Serials Section for price verification. When the form is returned and approved, the ADC&S will notify the appropriate bibliographer and the Serials Unit will be asked to make the account transfer.

Location Changes (Use Form CM-SE-4-Location Change Request)

1. The selector may determine that a particular title should be moved from one location to another because the primary user population is supported by the proposed location. The selector should coordinate with the bibliographers who curate the collections and complete Form CM-SE-4-Location Change Request. It is understood that a location change includes all the holdings associated with the title. If the location change request also includes a proposed account transfer, then the selector should complete both the CM-SE-3-Account Transfer Request and CM-SE-4-Location Transfer Request. The completed form(s) should be sent to the ADC&S.

2. The proposed change will be sent to all CSMG members, who will have thirty days to comment.

3. The comments received from CSMG members will be reviewed and a decision made. The approved changes will then be sent to the library units responsible for implementing.

Collections and Services Division
University of Florida Libraries
Serials Cancellation Request

Date: _____ Fund No.: _____

Fund Name: _____ Selector: _____

Bibliographer: _____

A review of the serial holdings supported by the above named fund indicates that the following title is not supported by the academic programs attached to the fund. Consequently, the serial title listed below is recommeded for cancellation.

Call Number: _____

Title: _____

Publisher: _____

Library Location: _____

Holdings (Dates), including dates for previous titles: _____

Growth during the most recent year (feet, inches): _____

Price: _____ Withdraw complete run-yes or no: _____

Linear Feet of holdings: _____

Selector Comments: _____

Reviewer Comments: _____

Reviewer's Name: _____

Please send completed form to ADC&S, 210 Library West, Campus

CM-SE-1-Cancellation Request-1/1/88

The University of Iowa
Iowa City, Iowa 52242

The University Libraries

1847

MEMORANDUM

TO: Departmental Executive Officers
and other Academic Administrators

FROM: Ross Atkinson
Assistant University Librarian
for Collection Development

DATE: 25 September 1986

SUBJ: Cancellations

Attached is a list of all serial titles that have been cancelled to date as part of the current serials cancellation project. In the course of FY 1986/87, faculty will be approached to assist library selectors in targeting further serials for cancellation. This project is being undertaken as a partial response to the increasingly depressed budgetary situation of the University Libraries. Over the past two years, costs of library materials have risen by approximately 30%, while this year the budget currently remains reduced by some 9%. Even if that 9% can be returned to the Libraries, therefore, the budget will still have only two-thirds the purchasing power that it had just two years ago. In order to (a) maintain subscriptions to significant serials, (b) begin subscriptions to a few new, clearly necessary serials, and (c) continue to acquire essential monographs, this purge of selected serial titles has been unavoidable.

Except in the case of the most general type of serials, cancellations were not undertaken without first consulting relevant faculty. No serials considered to be indispensable by any of the faculty members consulted were cancelled. On the other hand, we did in some cases choose not to follow recommendations by faculty to cancel certain items, either because we are certain that faculty members in other departments are using the titles targeted, or because we remain convinced that the titles in question are so substantial, and their potential value to future research so conspicuous, that we have preferred to retain them--at least for the time being. We have, however, kept a record of all faculty recommendations, so that, if the budgetary condition of the Libraries continues to decay, these more serious and ultimately detrimental cancellations can be effected.

We have obviously been unable to consult all faculty on all cancellations. I would therefore like to ask that you route the attached list among faculty in your department. If any titles on the list are felt to be essential to current teaching or research, please let me know and we will certainly consider re-subscribing before a gap occurs. Because of the extremely serious nature of the Libraries' budgetary situation, we are, of course, hoping that such re-subscriptions can be kept to a minimum.

Thanks very much for your assistance.

UNIVERSITY OF IOWA LIBRARIES

MEMORANDUM FOR: The Record

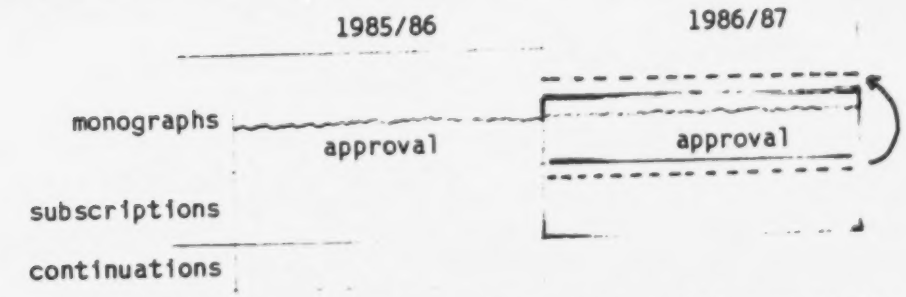
FROM: Ross Atkinson RA

DATE: 26 June 1986

SUBJ: 1986/87 Budget Reduction

Over the past three days I have met with most of the Main and departmental selectors to discuss the condition of the 1986/87 budget and our strategy for dealing with it. I provided the selectors with the following information:

If we do nothing to try to counter the 15%+ reduction we have received (in addition to a very significant decline in the exchange rate), the 1986/87 acquisitions budget will appear something like this:



If we cancel no subscriptions, and leave everything as it is, then we would be obliged to absorb the entire reduction in the monographic segment of the budget. This would so deplete that segment that we would in all probability not be able to acquire non-approval monographs for the entire FY. (This condition would, of course, be more damaging to some subjects than to others). It is therefore vital that we begin to cancel journal subscriptions.

As I understand Dick's current budgeting plan, selectors will receive a budget in which the entire reduction has indeed been deleted from the monographic line (as outlined in blue above). In order to increase their monographic lines, selectors will need to cancel subscriptions; the savings resulting from those cancellations will then be transferred from the selector's subscriptions line to his or her monographic line (red arrow). If the selector chooses not to cancel, the consequence will be a highly depleted monographic line in comparison to previous years.

The continuations budget will remain centralized, although selectors will be encouraged to look for candidates for cancellation among continuations in the coming FY.

This is the tactic we will use to try to retain some balance among formats in response to the reduction. Selectors, in putting this plan into effect, must recognize, however, that there are a number of restraints that must be factored into their decision-making:

1. Timetable. We have received a very large reduction with very little time to react to it. There is not enough time to do a full survey of the comparative value of journals in each subject area, so that selectors may not be able to decide to cancel some journals in time. Selectors are, in any event, urged not to make rash decisions because of the time pressure. The other aspect of the time constraint is imposed upon us by the subscription cycle: in order to cancel some journals, we would need to inform vendors of these decisions almost immediately. In at least some cases, therefore, selectors may well settle on titles for cancellation which, because of the subscription cycle, cannot be cancelled in time to have an effect on the 1986/87 budget.

2. Processing. Cancelling subscriptions is a complicated and labor-intensive process. While Serials is prepared to do everything possible to meet the demands of a large cancellation project, the staff of Serials can only accomplish so much within the short time available. It may be, therefore, that selectors will identify some journal titles for cancellation that Serials will be unable to act upon before the deadline. One of the so-called "paradoxes of austerity" is that it takes money to save money. This is clearly true in our case, for we do not have enough trained processing staff to carry out the cancellations necessary to reduce on our spending for serials acquisitions.

3. Supplemental Funding. Central Administration has announced that it will make every effort to provide us with supplemental funding later in the year. We have no idea, however, whether such supplemental funding will be forthcoming, nor how much it might be. If we do receive such funding, the most effective way to use it (aside from applying it to special purchases we have backlogged) will probably be to distribute it throughout the monographic lines in the budget. Selectors should consequently be aware that they should not totally decimate their subsciptions in order to afford monographs, because some extra funding for monographs may be available later in the year.

It is, therefore, vital that selectors do as much cancellation as possible before 1 September, but that they should at the same time approach this project with a thorough understanding of the restraints listed above. These restraints should serve to temper their cancellation planning. It is in any event clear that all potential cancellations cannot be achieved in time to have an effect on the FY 1986/87 budget. The savings from some cancellations will only be realized in the FY 1987/88 budget, which means that monographs must unavoidably bear a disproportionate quantity of the initial impact of the reduction.

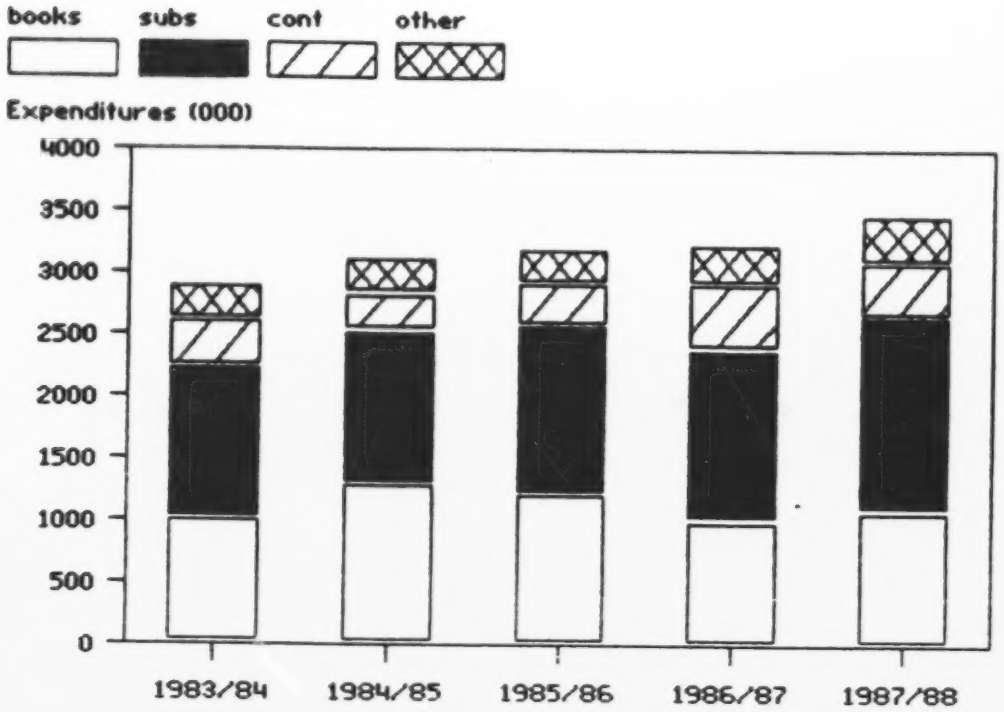
Selectors were urged to identify journal titles for cancellation during July and August, and to submit cancellations to Serials by the first week in September. They were also urged to keep notes concerning the rationale for cancellation, including especially which subject areas are receiving

reductions in collection intensity and which are being protected. Selectors will in effect be making very important collection policy decisions by determing which journals to cancel, and it is essential for the eventual production of a University-wide collection policy that the criteria used for cancellation decisions be recorded.

I explained that selectors must meet with faculty to discuss cancellations. Not to do so is to court disaster. I suggested that selectors provide their faculty with two lists, one containing those titles which, in the opinion of the selector, deserve immediate cancellation, and a second list of journals, the use of which should be monitored in the course of the year to determine whether they should also be cancelled. Discussion with the faculty could then involve moving titles from one list to another.

Selectors are to provide faculty with a full understanding of the impact of the budget cut and of the Libraries' effort to deal with it. If selectors encounter faculty members who steadfastly refuse to accept any reduction in the collection intensity in their subject areas, those faculty members should be referred to me.

C390 1983/84-1987/88



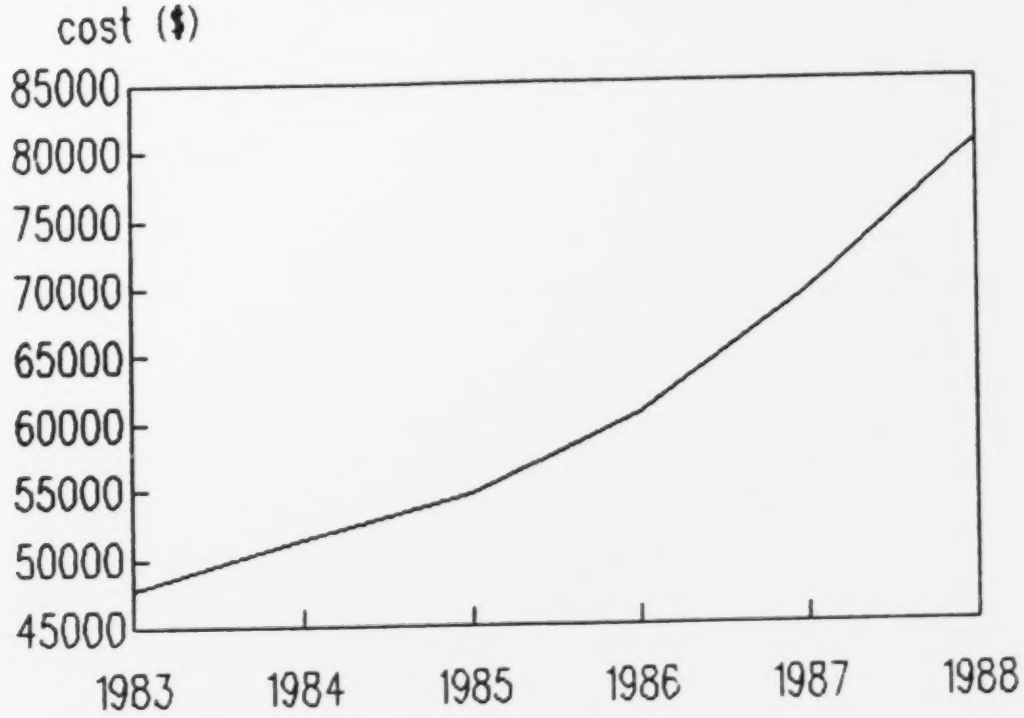
EXPENDITURES ('000)

	1983/84	1984/85	1985/86	1986/87	(est.) 1987/88
books	1,003	1,284	1,203	993	1,069
subs	1,215	1,223	1,348	1,377	1,566
cont	378	302	347	528	435
other	276	288	274	326	393
	2,872	3,097	3,172	3,224	3,463
books	35%	41%	38%	31%	31%
subs	42%	39%	42%	43%	45%
cont	13%	10%	11%	16%	13%
other	10%	9%	9%	10%	11%

UNIVERSITY OF IOWA LIBRARIES

March 1987

Subscription Sample



based on a sample of 298 core titles

SUBSCRIPTION SAMPLE COSTS

1983	1984	1985	1986	1987	1988
47,822	51,412	54,627	60,518	69,454	80,410
=% incr	7.51%	6.25%	10.78%	14.77%	15.77%

% increase 1983-88: 68.14%

The University of Iowa
Iowa City, Iowa 52242

The University Libraries

1847

MEMORANDUM

TO: Departmental Executive Officers

FROM: Ross Atkinson
Assistant University Librarian
for Collection Management

DATE: 26 October 1987

SUBJ: 1987 Cancellations

Attached is a list of the serial titles cancelled this year by the University Libraries. This list includes both journals ("sub") and monographic series ("cont"). The price column on the right shows the cost of an annual subscription, if the title is a journal, or the cost of the last monograph received, if the title is a monographic series. The "vol/year" column indicates the latest year we have subscribed, if the title is a journal, or the last year we received a monograph in the series, if the title is a monographic series.

There is an important distinction to bear in mind between a journal and a monographic series. When we cancel a journal, we will no longer receive that journal, nor can we as a rule receive any issue of it again without resubscribing. In the case of monographic series, on the other hand, we can still firm-order individual monographs published in the series; the cancellation merely means that we will no longer automatically receive every monograph published in the series.

The rapidly increasing cost of scholarly journals remains one of our most difficult problems. Although we will not have full information on cost increases for our subscriptions until later in the year, initial indications are that our 1988 journal subscription costs have risen ca. 13% over 1987. Last year our 1987 subscription costs rose by ca. 14% over 1986. Such significant cost increases leave us no choice but to continue to reduce the number of

journals to which we subscribe. In making these decisions, we have as always made every effort to obtain the input of all interested faculty. Because it is still possible, however, that we may have inadvertently cancelled a title that a faculty member feels is absolutely essential to his or her instruction or research, I would ask that you please route the attached list to the faculty in your department. If a faculty member determines that a particular title we have cancelled is in fact indispensable, that faculty member should contact the library selector responsible for the appropriate subject area and recommend that the standing order be reinstated. An updated list of selectors is attached. If there is any question as to which selector should be contacted, or if the selector is for some reason unavailable, faculty should also feel free to contact me.

Thanks for your assistance.

xc: Main and departmental selectors
M. Ertl (Law)
J. Galejs (ISU)
J. Marshall (UNI)
Collection Development Officers,
Research Libraries Group
Collection Development Officers,
Committee on Institutional Cooperation

budget\cancel87

The University of Iowa
Iowa City, Iowa 52242

The University Libraries

1847

April 19, 1988

MEMORANDUM

TO: University Faculty

FROM: Sheila D. Creth
University Librarian

RE: Reduction in Library Acquisitions, 1988-89

Attached is a list compiled by librarians identifying proposed titles for reduction in library acquisitions for 1988-89. We request your review of this list to advise us as to whether it includes any materials that you feel absolutely must be retained to support your instruction and research.

As you have previously heard, the increase in costs for library materials during 1987-88 is an estimated 16%. We anticipate that in 1988-89, our costs will reflect an overall increase of approximately 18% over 1987-88, and therefore we must plan to reduce our commitments.

While we have not yet received the University allocation for 1988-89, we are pleased to report that the legislature and Governor have approved a special appropriation for library materials. This appropriation is a result of the efforts of Interim President Richard D. Remington to secure support for the libraries. Although this appropriation will not eliminate the need for reductions in acquisitions expenditures, it will reduce the amount by which we must cut.

We share your concern with the decline in the quality of the collections. As we undertake this unpleasant task of identifying those materials which will not be renewed, we appreciate your assistance. Thank you.

ke
Attachment

LIBRARY ACQUISITIONS: AN UPDATE
UNIVERSITY OF IOWA LIBRARIES

April 20, 1988 Vol. 1, No.1

Editor: Ross Atkinson, Assistant University Librarian for Collection Development

This is the first of what we expect will be a series of brief, irregular newsletters intended to keep the University of Iowa faculty informed of developments affecting the acquisitions of library materials. Our rapidly escalating prices are quite extraordinary and unfortunately show no sign of abating or reversing in the near future. In order to keep faculty informed about materials costs and their effect on library acquisitions, we are initiating this newsletter.

-- Sheila D. Creth, University Librarian

Rising Prices: The Current Situation

Research libraries throughout the country are currently facing the same basic budget problem: the costs of library materials are rising far faster than acquisitions budgets at most institutions can be increased. Such cost increases are a result of a variety of economic and commercial factors, including especially the rapid decline in the dollar against foreign currencies, and the exceptionally high prices now charged by some publishers of scholarly materials.

At Iowa this problem is particularly acute. In the five years from 1983/84 to 1987/88, the University Libraries' base budget for acquisitions has increased by 16%. During that same period the cost of North American books has increased by approximately 20%; the cost of German books acquired by the Libraries increased by 45%, the cost of French books by 60%, and the cost of British books by 80%. A core sample of the Libraries' subscriptions indicates that the average price of journals received by the Libraries increased during this period by 68%.

The University Libraries have sought to counter these cost increases by undertaking reductions in acquisitions, and by making use of occasional one-time supplemental allocations provided by central administration. Yet another reduction in acquisitions is now being planned for the coming fiscal year. Plans are being made to reduce acquisition expenditures by 10%,--depending upon the condition of the 1988/89 acquisitions budget.

While we have not yet received the University allocation for 1988-89, we are pleased to report that the legislature and Governor have approved a special appropriation for library materials. This appropriation is a result of the efforts of Interim President Richard D. Remington to secure support for the Libraries. Although this appropriation will not eliminate the need for reductions in acquisitions expenditures in 1988/89, it will reduce the amount by which we must cut.

The unpleasant challenge facing the University Libraries is to attempt to devise sweeping reduction policies which will inflict as little damage as possible on individual University programs. In designing such policies, the University Libraries will rely as always on faculty assistance.

Some Late News on Book Costs

B.H. Blackwell, the University Libraries' main vendor for English language materials, reports that the average list price of the books they supplied to libraries in the last six months of CY 1987 increased by 17% over the average list price of books supplied during the same period in CY 1986. The average price of a U.S. book provided by Blackwell was $32.80; the average price of a British book was $40.08, and the average price for books supplied by Blackwell from other countries (English language books published mainly in Europe) was $59.30.

The 11 March 1988 issue of Publishers Weekly contains a preliminary report on 1987 U.S. book prices. The average price of a hardcover book published in the U.S. increased in 1987 by 9%. (Even book prices not affected by the exchange rate, therefore, are increasing significantly.) The average list price of a U.S. book on science in 1987 was $60.83. The average price of a book on history was $31.42, and the average price of a novel was $18.18.

A Note on Books, Journals, and Equity

Although research in all subjects requires access to both books and journals, some subjects rely mainly on books, while others depend primarily on journals. Most of the Libraries' physics collection, for example, consists of journals: approximately 80% of the physics acquisitions budget is spent on subscriptions. Most of the acquisitions in European history, on the other hand, are books: only 6% of the European history budget is spent on subscriptions.

It is important to understand, however, that significant reductions in a library's acquisitions will be much more immediately visible to scholars whose subjects consist primarily of journals. A journal already exists. It has a history. It is a familiar source of information, and its future utility can be reckoned from its past content. To cancel a journal is therefore always to deny in a very dramatic fashion access to a source of information which was previously available. Most books, on the other hand, have no such history or familiarity. Most of the books a library decides not to purchase may remain unknown to many of the library's users. A reduction of acquisitions is, therefore, less immediately noticeable to scholars working in subjects which depend primarily on books--even though the cumulative effect of the reduction is every bit as damaging to the collection in their subject area as it is to a subject area depending primarily on journals. This variation in the visibility of a collection's decline should always be taken into account when trying to assess the relative effects of a reduction in acquisitions on different subject collections.

THE UNIVERSITY OF KANSAS

University of Kansas Libraries
Lawrence, Kansas 66045-2800

27 January 1987

Professor Del Brinkman
Vice Chancellor
127 Strong

Dear Del:

The purpose of this letter is to provide you with a current status report on the growing problem of the Library's acquisitions allocation. The Senate Library Committee joins the Library in requesting your special assistance in addressing this problem.

Over the twenty-four month period from 1 July 1985 to 30 June 1987, the weakening of the dollar abroad and inflation at home will have combined to reduce the purchasing power of the Library's acquisitions allocation of $2,700,00 by an unprecedented $758,000. Shortfalls in the State's revenue collections have made necessary a further reduction of $140,000. Offsetting these losses has been an increase of only $55,000 in acquisitions funding for 1986/1987, leaving a net loss of $843,000, as set forth below:

	Acquisitions Funding 1 July 1985	Purchasing Power Lost 7/1/85 to 6/30/87
Domestic Publications		
Books	$ 960,000	$ 96,000 (10%)
Periodicals	660,000	132,000 (20%)
Foreign Publications		
Books	640,000	288,000 (45%)
Periodicals	440,000	242,000 (55%)
	$2,700,000	$758,000 (28%)
Recision Monies		140,000 (5%)
	Total Loss	$898,000 (33%)
Less Increase for 1986/1987		- 55,000 (2%)
	Net Loss	$843,000 (31%)

As was pointed out in the Library's budget requests for 1987/88, the crisis in acquisitions funding has had several causes. Among these have been the high rates of domestic inflation for library materials. Over the twenty-four month period under review, the price of books has risen by 10%, the price of periodicals by 20%. Adding to problem has been the increasing commercialization of scholarly publishing abroad, which has produced large numbers of

Main Campus, Lawrence
College of Health Sciences and Hospital, Kansas City and Wichita

exoribitant increases in the prices of many important scholarly periodicals. Since July 1985, these increases have amounted to a minimum of 10%. By far the most important cause, however, has been the steep decline in the value of the dollar over the past two years, which has produced devastating losses in the purchasing power of the portion of our allocation spent abroad. The figures provided in the Library's budget request on purchasing power lost through dollar devaluation were current as of October 1986. Since that time the situation has improved slightly with respect to one currency, the Yen, and worsened considerably for the other four:

Price in Dollars of Major Currencies

	DM	SwFr	Yen	Pound	FrFr
July 1985	$0.332	$0.397	$0.004	$1.310	$0.109
Jan. 1987	0.524	0.625	0.006	1.480	0.156
% Increase	57.8	57.4	50.0	12.9	43.1

Especially serious has been the continued decline of the Deutsch Mark, the currency used for the purchase of much of scientific publishing. Economic and business opinion of the future of the dollar is mixed, but there is ample support for the view that it will decline further, and little discussion at all of any possible increase. It is perhaps significant that the 180-day forward figures now quoted in the Wall Street Journal, which represent the combined judgements of persons who specialize in currency values and who have a financial interest in the outcome, call for further decline in relation to three of these five currencies. Overall, the fall in value of the dollar with respect to the major foreign currencies has produced an aggregate loss in purchasing power of 45% since July of 1985.

As the University makes its budgetary decisions in this time of financial adversity, it is, we believe, of the utmost importance that everyone involved in those decisions understand both the scope of the problem of library acquisitions, and the serious consequences for the future if that problem is not solved. Again, by the end of this fiscal year, dollar devaluation and other factors will have reduced the purchasing power of the acquisitions budget by over 30%, and will require the cancellation of almost one-third of our periodical subscriptions and the purchase of correspondingly fewer books. If this situation were allowed to exist for even one year, the resulting damage would be quite substantial. If, however, the allocation were to remain at this reduced level indefinitely, or even for some small number of years, the consequences would be devastating and permanent. What the University might then expect in its future would not be the comprehensive research library it has strived for so long to create. In prospect would be a qualitatively different kind of library, able to provide only a radically reduced level of support for research. Unless a new phenomenon is to appear in the academic world—a university that is markedly better that its library, this transformation of the Library could not but have the most harmful effect on the University's future.

While financial problems are currently prevalent in all parts of the government of this State, there is no other State agency that spends as many dollars or as large percentage of its allocation in foreign currencies as the KU Library, and none that has experienced as large a decline in the purchasing power of its budget. It is, we believe, of the utmost importance that the University do everything within its power to address this problem. We would like to request your assistance in explaining this issue within the University, and in requesting special funding from the KU Endowment Association, or from whatever other source may be or become available.

Thank you.

Respectfully,

Ron Francisco, Chair
Senate Library
Committee

Jim Ranz, Dean
Library

To: Latin American Studies Students -- Graduate and Undergraduate
From: Rachel Miller (SPLAT, Watson Library, 4-3351)
Date: March 5, 1987
Subject: SERIALS CANCELLATIONS

I am requesting your help and advice in accomplishing a very unwelcome task: that of identifying Latin American studies journals and periodicals for cancellation next fiscal year. Your participation in this process is absolutely critical to insure that as little damage as possible is done to current faculty and student research projects, to the Latin American Studies program at KU, and to the long-term research potential of the library collections.

These serials cancellations have been made necessary by a very serious decline in the library's purchasing power, which is the result of:

1) book and periodicals price inflation: this amounts to approximately 9% per year for domestic titles, and 4% for foreign;
2) exchange rates: between early 1985 and the fall of 1986 the dollar has fallen 48% against the German mark, 53% against the Swiss franc, 62% against the Japanese yen, and 37% against the French franc;
3) discriminatory pricing: recently European publishers have begun to price serials much higher for U.S. customers--up to 66% higher--than for European subscribers;
4) very low increases in acquisitions funds: the University's O.O.E. budget (Other Operating Expenses), out of which the library receives acquisitions funds, was increased only 2% this year over last;
5) the rescission: $140,000 had to be cut from the acquisitions budget in November.

These factors have already led to serious cuts in subject funds for book acquisitions: all funds were cut 19% at the beginning of the fiscal year, and certain funds received further cuts ($6,000 in the case of the Latin American fund) in the rescission. For practical reasons it was impossible to effect serials cuts in time for this fiscal year, but cancellations must take place in FY 88. The library is becoming increasingly unable to meet its projected serials expenditures. We had a overrun last year of $110,000 beyond the amount budgeted for serials and we expect another overrun this year of perhaps $50-70,000. The actual total dollar amount to be cut will not be known until next year's budget is announced.

In preparation for these cancellations, all bibliographers have been asked to identify by March 27, in priority order, specific titles to be cancelled. Each serials fund has been assessed a cancellation

quota based on the percentage it represents of total FY 86 serial expenditures, and on the total amount that would have to be cut in a "worst-case" scenario for FY 1988. Our quota is:

LATIN AMERICAN AREA STUDIES $5274

I would be most grateful if you would review the enclosed list of serials and let me know, if possible by March 20, either in writing or by phone, any suggestions you may have for 1) titles to be cancelled, or 2) titles that absolutely should not be cancelled if at all possible.

I would be happy to answer any questions about the list or the cancellation process, or in fact any other library matter.

MEMO TO: Education Faculty

FROM: Barbara Jones

RE: Serials Cancellation

Within the next month the Library will be developing a list of periodical titles which could be dropped from the present subscription list in the case that the FY88 acquisitions budget proves inadequate to cover the cost of current subscriptions. It is not known at this time how large a cut will actually be required; however, given the extremely high inflation rate of periodicals, an unfavorable currency exchange rate, and the probablity of a low OE increase, it is likely that a considerable cut will be necessary.

The Library has targeted an amount of $300,000 as the total cost of the serials to be identified as potential candidates for cancellation. That amount is based on an estimate that, were no increase to be provided in the acquisitions base, $600,000 would need to be pared from the total acquisitions budget. The recommendation of the Library Collection Development Council (the committee which considers budgetary allocations) is that the projected $600,000 shortfall be shared equally between books and serials. The amount to be cut from each serial fund has been determined on the basis of each fund's percentage of the FY86 serials expenditure. In the case of education the amount of the potential cut is $2,871, approximately 25% of the value of the education periodical subscriptions.

By March 27 I will need to have a list to present to the Library Collection Development Council of periodicals that could be cut from the education serials budget at a savings of $2,871. I would very much appreciate receiving any advise from departments or individual faculty on how to accomplish this. In order to give the faculty of each department an informed basis on which to consider this matter, I am supplying each department with a list of the journals, subdivided by department, on the education serials fund. The indicated prices are estimated from current serials directories or from the Library pay files.

It is my hope that faculty will pay particular attention to the titles in their field of expertise and will group them in rough priority categories such as 'most important to keep, 'could be cut', 'cut if we must'. If a number of faculty within a department have time to meet and come to some degree of concensus regarding periodicals in their specialty, that would certainly be helpful. At the same time I realize that the time frame for this exercise is quite narrow and that faculty schedules are full. Any imput you are able to give me before March 27th will be taken into consideration.

In addition to suggestions regarding particular periodicals, any advise regarding general criteria for developing a cancellation list will also be appreciated. I do have several strategies in mind which I believe would help reduce the damage to your programs. Illustrated with a few examples these are as follows:

> Eliminate general interest titles; i.e. those which only touch on education topics occasionally. There are not many of these. The following journal is not included on any of the departmental lists because it is too general to categorize.
>
> ($103) USA Today (This used to be "Intellect". It has become a general interest magazine.)

If there is no compelling reason to do otherwise, I would also plan to balance the potential cancellations in such a way that all departments will bear an approximately equal burden of loss. Whatever list we do present to the Collection Development Council is subject to some alteration because of the various interests of other fields: not all of the titles of interest to education are on the education fund, for that matter. Cooperative agreements with other schools will also play some part in the final list. For instance we have an agreement with Kansas State University to continue to subscribe to several expensive titles, among them Soviet Education, in exchange for their agreeing to continue subscribing to certain other expensive titles. Much of the purpose of developing the potential cancellation lists expeditiously is to allow for negotiations between departments and schools. (Isn't this fun!)

We will not really know for certain what amount of cut will be necessary until far too late in spring for most of you to have time to concern yourselves with these matters. It should be kept in mind that the $2,871 amount is not necessarily the amount which will be required. There is some reason to hope that the total cut required will be considerably less. And, at worst, we also have the option of transfering some amount from the education book fund into serials. My thought is that we should do this as a last resort, since a permanent reduction of the book fund base would leave us with little flexibility to purchase either books or new serials. (New serials can only be financed by transfering funds from the book fund.) It is not yet decided by what means the book budget will be reduced: the alternatives are to reduce the subject funds or to further limit approval receipts in some way. Some reduction in subject book funds seems likely, however, since the current recision has already led to more stringent monitoring of approval receipts.

Many thanks to those of you who have had the patience to read through this over-long memo. I will appreciate any advise, thoughts, or information you can provide. I will also be glad to provide anyone who would like it with a copy of the list of 'potential' cancellations which I hope to have ready by mid-March.

2-24-87

"Oh, it's great here, all right, but I sort of feel uncomfortable in a place with no budget at all."

The University of Kansas

University Libraries

18 September 1987

Dr. Judith A. Ramaley
Executive Vice Chancellor
231 Strong

Dear Dr. Ramaley:

At our meeting last Wednesday you requested information on the Library's acquisitions budget and on the procedures used in implementing serials cancellations. Since the decisions made about serials cancellations during the past fiscal year and the evolving financial situation were closely connected, both issues may be understood most easily as parts of a chronological narrative.

The Library first became aware that a serious problem was developing in acquisitions funding during FY1986. During that year the dollar began a decline relative to foreign currencies that was to be unprecedented in speed and extent. The Library has always been particularly sensitive to currency changes since about 40% of the acquisitions budget is spent in foreign currencies. It was possible to deal with FY86 costs without undue difficulty, but by the end of that fiscal year it was evident that there would be serious problems in FY1987. The two major factors pointing to this conclusion were:

1) The fact that a majority of serials invoices are paid in the fall, for subscriptions in the following year. This meant that for foreign serials, the cumulative devaluation of the previous twelve months would make itself felt for the first time.

2) Toward the end of the fiscal year the Legislature had made its final appropriation to the University and it had been determined that the acquisitions increase would be 2.4%.

The University has for some time been in the habit of allocating year-end monies for library acquisitions in the last days of each fiscal year. These allocations have, on occasion, been in excess of $100,000. Customarily, this money has been used for large purchases. At the end of FY1986, however, in the hope of alleviating the developing financial problem, the Library requested that this money be made available for charges that would otherwise be incurred in the following year. On this occasion, it was possible to supply only $10,748 for this purpose.

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At the beginning of FY1987, the Library, based on the recommendation of its Collection Development Council, decided to absorb the entire shortfall by reducing book purchasing, and to prepare for a serials cancellation in FY1988, should this still be necessary at that time. If serials cancellations are to achieve the intended financial results, they must be carried out not later than August of the fiscal year in which they are to take effect. Sufficient time was not available to prepare carefully and to implement a major cancellation project for FY1987. Also, while it would obviously have been unreasonable to have expected the University to respond fully to a financial problem of such size, and one which had developed so rapidly, it did seem possible that, with some amount of lead time, the University might at least be able to take steps that would reduce the amount of the cancellations that might be necessary. This in fact did happen.

During November of 1986, Clinton Howard, Assistant Dean for Technical Services, and Richard Ring, Collection Development Librarian, met with most deans and department chairs to explain the situation of the acquisitions budget, particularly with reference to dollar devaluation, and to inform them of the likely need for serials cancellations. During these meetings they also explained the method by which the Library proposed to allocate dollar quotas and to select titles to be cut from each serials subject fund. In this same month, the acquisitions situation worsened suddenly and markedly with the imposition of a State-wide recision. To meet the Library's recision allocation, $135,000 of acquisitions funds had to be returned to the University. At the time, it was considered distinctly possible that this recision would be continued in FY1988.

In January 1987, when the matter could no longer be delayed, active preparations for serials cancellation were begun. The Library believed that the essential condition for minimizing damage from cancellations was extensive consultation with faculty. We also understood that the amount of acquisitions money that would be available in FY1988 would not be finally known until very late in the fiscal year. Consequently, it seemed essential to set the preliminary estimate of the amount to be cancelled at something like the worst-case figure as it appeared at that time. The preliminary estimate for serials cancellations was $300,000. The Library also assumed that funds for book purchasing would be cut by a similar amount. The serials budget is divided into 61 subject funds. The Collection Development Council proposed that when a final cut figure was determined, it be apportioned among the serials subject funds in proportion to their share of the FY1987 serials budget. Thus a fund amounting to 6%

of the total serials budget would be cut an amount equal to 6% of the final cut figure. Percentage figures from the FY1986 serials budget were used to compute estimated cut quotas.

Each of the University's schools and departments is assigned to one of the Library's 25 bibliographers. Within each school or department, a faculty member is designated as a contact person for the bibliographer. After internal discussions about procedure and scheduling for the project, library bibliographers, equipped with a list of titles on each serials subject fund and an estimated cut figure for the fund, contacted these library liaisons to establish an appropriate method for each department or school to review and select titles for possible cancellation. This initial review and selection was to be completed by April 1st. Subsequently, the records for the titles selected were tagged on the Library's on-line serials system, and preliminary cut lists were produced. These were made available for general review within the Library and among faculty to ensure that titles were not being cancelled on one fund that were of great importance to others.

In April, budget prospects improved with receipt of a supplementary allocation of $45,000. In May, the $135,000 lost to recision was restored in full, and it became unlikely that there would be a like recision in FY1988. Finally, in June we were informed by the Chancellor that a minimum of $60,000 would be made available in year-end funds, and that he hoped it would be possible to increase this to $100,000. Following these developments and on the basis of further analysis of exchange rates and serials inflation, the serials cancellation estimate was reduced to $200,000. The cancellation quotas and preliminary cut lists were revised accordingly.

In early July, the Chancellor's hope for $100,000 in year-end money was realized. Also, by this time, final serials expenditures for FY1987 and the FY1988 increase in acquisitions funding were known. The final cancellation figure was set at $200,000, and final cut quotas were computed based on FY1987 expenditure figures for each fund. The only exceptions made in this procedure were reductions of the quotas for the material of general interest in the Reference and Government Documents departments.

In order to provide maximum flexibility in making the necessary budget reductions, the Collection Development Council decided that cancellation quotas could be met by any combination of the following methods:

1) Cancellation of serial titles;

2) Transfer of monographic series from the serials budget to the corresponding book fund for the subject;

3) Base reduction of the corresponding book fund.

As a result of this procedure, actual serial cancellations were made in the amount of $173,810. A list of cancelled titles is being delivered with this letter.

A number of inflationary pressures contributed to creation of the situation in which so large a cancellation of serials was necessary. For 1986, domestic periodical prices increased 8.2%; for 1987, they increased 10.3%. Average costs per title of domestic books grew about 6% in 1986. Preliminary figures for 1987 indicate a much larger increase of over 12% in book costs. Another significant factor was predatory pricing by some publishers. This has been prevalent and extreme among foreign serials publishers, especially those publishing scientific and technical titles. Although the pricing mechanism chosen may now be shifting from blatant discriminatory pricing to the simpler expedient of large across the board increases, it is all too evident that a large part of academic publishing is now in the hands of companies whose concern for profits is at least as great as their interest in scholarly communication. The decline in the value of the dollar, however, has had by far the greatest impact on the Library's acquisition budget. Examples of this decline during the fiscal years FY1986-1987 are shown in the following table:

Price in Dollars of Major Foreign Currencies, FY1986-87

	DM	Pound	Yen	Fr.	SwFr.
July '85	.3299	1.3095	.004027	.1083	.3945
June '87	.5469	1.6005	.006819	.1639	.6581
% Change	65.8	22.2	70.0	51.3	66.8

A second major factor which contributed greatly to the difficulties in acquisitions funding was the fact that in FY1987 the University, and in turn the Library, received a very small OOE increase from the State. In the face of an enormous rise in the cost of library materials, it was possible to raise the acquisitions base in FY1987 by only 2.4 %. One-time supplements supplied were sufficient to make the total increase in operating budget about 2.9 %.

In FY1988, the acquisitions funds received a base increase of $54,980, or 2%. The one-time supplemental allocations, totaling $200,000, which have been applied to FY1988 costs, combined with the base increase, amount to an increase

in operating budget equivalent to 8.4 %. As recounted above, this was sufficient to mitigate greatly the serials cancellations and reductions in book purchasing that would otherwise have been necessary. However, it is important to understand that the relief supplied is to a great degree temporary. The Library has in its FY1988 acquisitions budget $200,000 of one-time money.

* * *

The preceding discussion, of course, relates only to the periodical subscriptions that have had to be cancelled and does not address the even larger reductions that have been made in our book purchasing program. The prospect of not buying books that have as yet not been identified and requested somehow does not seem to disturb faculty as much as the cancellation of periodicals; but as the year progresses and the Library is unable to buy many of the basic monographs requested, we can be assured that the true dimensions of our acquisition problem will come to be fully appreciated.

Some $26,000 has been transferred from book funds to serials funds to reduce the necessary amount of serial cancellations in FY1988. The addition of this sum to the combined attrition of book funds resulting from dollar devaluation and from domestic and foreign inflation will have produced a total loss of purchasing power for books of more than $500,000 between July 1985 and June 1988. This represents about 15,000 books that the Library will not have purchased by the end of this fiscal year. In FY1988 alone, the loss will be over $200,000.

The above account is a summary of developments to date. Please let me know if there are points on which you would like clarification or additional information.

Sincerely,

Jim Ranz, Dean

cc: Brinkman
Woodyard
Howard

Louisiana State University

THE LIBRARIES
Louisiana State

Campus Correspondence
University

From: Sharon A. Hogan
Director of Libraries

Date: 4 April 1988

To: Department Heads

Subj: Continuing review of journals

Request for Action

During the next few weeks, I would like you to ask the faculty in your department to review the enclosed printout of journal titles and to assign priorities to the titles they use. This is the third in our series of printouts for faculty to review; titles on this printout have not appeared on any other printout. Faculty input into our review process is critical. Please do all you can to facilitate the process.

Date Due

Return the printout to me by April 29 (Room 295, Middleton Library).

Directions to Faculty

Please assign priorities to journal titles that you use. Recognizing the cross disciplinary nature of scholarly research, all call number ranges are included so that you can place priorities on journal titles regardless of their library classification. Do not assign a priority number to journal titles you do not use. Priority categories are:

1. Priority 1. Core titles. These titles usually define the field and often cut across the various subfields and sub-disciplines within a field. They are essential for teaching, research and current awareness of trends in the discipline. Advanced undergraduates and most graduate students use these titles to begin the process of learning the elements of the discipline, and recognizing the major researchers in the discipline. In terms of science, and often the social sciences, they are the large "citation" sources with major impact on the discipline over time.

2. Priority 2. Research titles. Often these are narrowly focused and of special interest to researchers in rapidly developing fields. They are essential for keeping abreast of new developments in research fields,

or for teaching advanced graduate students, supporting PhD research. They are often the titles where faculty publish their own research, or may need to consult for access to research by peers in their own interest areas.

3. Priority 3. Titles of peripheral interest to the discipline or subfields covered by current faculty. They are important for occasional references, and as researchers change emphasis, may become central to new research areas. As faculty concerns and emphases change, these titles may become central to ongoing "research" interests for a particular department or researcher, discipline or subfield.

Each list is arranged by Library of Congress call number. PLEASE WRITE PRIORITY NUMBERS DIRECTLY ON THE PRINTOUT (1,2,3). Library staff will compile the priorities written behind each title.

Background for the Review

Last year journal prices increased an average of 18% for titles received by LSU Libraries. To cover the increase, money was reallocated from books to pay for journal subscriptions. This year (1987-88) the inflation rate is again 18%; once again money was re-allocated from books to pay for journal subscriptions. Although the library received a one time allocation in February to supplement this year's book budget, financial difficulties of the state continue to make next year's budget prospects look very bleak. On top of that, price increases for 1988-1989 are predicted to be 15%. Since money cannot continue to be reallocated from books to journals without seriously harming the scholars whose research depends primarily on books, the library will continue its review of journals for cancellation. Faculty input into that process is vital. We are requesting your assistance by this priority setting process.

The Review Process

The library is following a six step process in preparing for a possible cancellation of journals.

1. Faculty input by setting priorities on journal titles.

2. Second step faculty review of titles identified through priority setting as 3 or 0 (little or no use).

3. Review of titles duplicated in the campus libraries.

4. Review or circulation and use in campus libraries.

5. Review of citation levels as reflected in citation indexes.

6. Review of ownership among libraries belonging to the Research Libraries Group Consortium.

7. Programmatic review by schools and colleges.

Progress to Date

As of this time, journal titles totalling $100,000 are being cancelled following priority setting and a second review process. Almost all titles fall into the zero category, that is, no one marked the title as 1, 2, or 3. Currently, the titles identified as number 3 priorities are being studied for circulation patterns. The target dollar figure for cancellation is $200,000 or 18%--the amount of the inflationary increase.

Questions

Questions should be directed to either Sharon Hogan, Director of Libraries (8-2217) or Chuck Hamaker, Assistant Director for Collection Development (8-8537).

SAH/bjc

LSU LIBRARIES 1981-1986, PAGE AND ARTICLE COMPARISION

TITLE	PUBLISHER	1986 sub. price	number of pages 1986	number of art. 1986	1981 sub. price
Journal of Algebra	Academic	$700.00	3935	230	$399.00
Journal of Approximation Theory	Academic	$300.00	1079	82	$192.00
Journal of Differential Equations	Academic	$490.00	2203	97	$272.00
Journal of Functional Analysis	Academic	$485.00	2102	93	$305.00
Journal of Mathematical Analysis and Applications	Academic	$912.00	4798	333	$501.00
Annals of Pure and Applied Logic	Elsevier	$246.00	682	32	$189.00
Chemical Geology	Elsevier	$601.00	1828	150	$274.00
Field Crops Research	Elsevier	$232.00	1197	88	$81.00
Gene	Elsevier	$1,300.00	3482	377	$390.00
Materials Science and Engineering	Elsevier	$1,047.00	2435	251	$581.00
Biochemical Pharmacology	Pergamon	$1,000.00	4652	755	$525.00
Engineering Fracture Mechanics	Pergamon	$840.00	2909	243	$225.00
European Polymer Journal	Pergamon	$430.00	1014	167	$276.00
Health Physics	Pergamon	$375.00	1727	237	$238.00
Infrared Physics	Pergamon	$215.00	411	62	$105.00
International Journal for Paristology	Pergamon	$250.00	655	84	$140.00
Journal of Physics & Chemistry of Solids	Pergamon	$530.00	1185	167	$350.00
Topology	Pergamon	$160.00	583	40	$95.00
USSR Computational Mathematics and Mathematical Ph	Pergamon	$625.00	598	102	$475.00
Automation and Remote Control	Plenum	$720.00	1755	209	$375.00
Biochemical Genetics	Plenum	$360.00	1040	75	$195.00
Czechoslovak Mathematical Journal	Plenum	$315.00	509	49	$165.00
General Relativity and Gravitation	Plenum	$350.00	1302	107	$205.00
Journal of Statistical Physics	Plenum	$900.00	4580	261	$390.00
Ukranian Mathematical Journal	Plenum	$625.00	694	159	$325.00
Communications in Mathematical Physics	Springer	$1,265.00	4100	212	$661.00
Experimenatal Brain Research	Springer	$1,341.00	3326	366	$442.00
Manuscripta Mathematicae	Springer	$330.00	1571	112	$280.00
Biopolymers	Wiley	$498.00	2549	163	$295.00
Communications in Pure and Applied Mathematics	Wiley	$176.00	887	30	$95.00
International Journal for Numerical Methods in Flu	Wiley	$320.00	943	56	$85.00
Soviet Soil Science	Wiley	$230.00	761	90	$148.00
		$18,168.00	61492	5479	$9,274.00

number of pages 1981	number of art. 1981	1981-86 % price increase	% diff. pages 1981-86	% diff. art. 1981-86	price/page 1981	price/page 1986	1987 sub. price	1981-87 % price increase
3425	213	75.44%	14.89%	7.98%	$0.12	$0.18	$770.00	92.98%
1112	91	56.25%	-2.97%	-9.89%	$0.17	$0.28	$330.00	71.88%
1801	89	80.15%	22.32%	8.99%	$0.15	$0.22	$540.00	98.53%
2056	87	59.02%	2.24%	6.90%	$0.15	$0.23	$582.00	90.82%
3598	251	82.04%	33.35%	32.67%	$0.14	$0.19	$1,000.00	99.60%
611	14	30.16%	11.62%	128.57%	$0.31	$0.36	$472.00	149.74%
1275	100	119.34%	43.37%	50.00%	$0.21	$0.33	$734.00	167.88%
492	53	186.42%	143.29%	66.04%	$0.16	$0.19	$290.00	258.02%
1535	161	233.33%	126.84%	134.16%	$0.25	$0.37	$1,300.00	233.33%
1493	160	80.21%	63.09%	56.88%	$0.39	$0.43	$1,417.00	143.89%
3435	591	90.48%	35.43%	27.75%	$0.15	$0.21	$1,150.00	119.05%
1359	104	273.33%	114.05%	133.65%	$0.17	$0.29	$840.00	273.33%
1275	200	55.80%	-20.47%	-16.50%	$0.22	$0.42	$485.00	75.72%
1844	265	57.56%	-6.34%	-10.57%	$0.13	$0.22	$400.00	68.07%
392	55	104.76%	4.85%	12.73%	$0.27	$0.52	$215.00	104.76%
492	72	78.57%	33.13%	16.67%	$0.28	$0.38	$320.00	128.57%
1095	126	51.43%	8.22%	32.54%	$0.32	$0.45	$600.00	71.43%
420	26	68.42%	38.81%	53.85%	$0.23	$0.27	$180.00	89.47%
1525	129	31.58%	-60.79%	-20.93%	$0.31	$1.05	$705.00	48.42%
1731	246	92.00%	1.39%	-15.04%	$0.22	$0.41	$795.00	112.00%
1292	101	84.62%	-19.50%	-25.74%	$0.15	$0.35	$395.00	102.56%
680	57	90.91%	-25.15%	-14.04%	$0.24	$0.62	$345.00	109.09%
1204	104	70.73%	8.14%	2.88%	$0.17	$0.27	$375.00	82.93%
2337	134	130.77%	95.98%	94.78%	$0.17	$0.20	$975.00	150.00%
657	152	92.31%	5.63%	4.61%	$0.49	$0.90	$770.00	136.92%
3003	153	91.38%	36.53%	38.56%	$0.22	$0.31	$1,466.00	121.79%
1850	218	203.39%	79.78%	67.89%	$0.24	$0.40	$1,341.00	203.39%
1380	75	17.86%	13.84%	49.33%	$0.20	$0.21	$466.00	66.43%
2702	171	68.81%	-5.66%	-4.68%	$0.11	$0.20	$540.00	83.05%
867	27	85.26%	2.31%	11.11%	$0.11	$0.20	$192.00	102.11%
394	19	276.47%	139.34%	194.74%	$0.22	$0.34	$320.00	276.47%
735	83	55.41%	3.54%	8.43%	$0.20	$0.30	$246.00	66.22%
48067	4327	95.90%	27.93%	26.62%	$0.19	$0.30	$20,556.00	121.65%

University of Michigan

MEMORANDUM

TO: GL Selectors
FROM:
DATE: February 15, 198?
SUBJECT: Serials Review Sequencing and Procedures

Attached you will find a copy of a memorandum from the Library Director describing the serials problem. This memorandum provides useful background for discussions you might have with faculty. A letter from Wendy Lougee detailing GL's plan of action in response to the problem has been sent to LS&A departmental chairs served by GL; a copy is attached if your name was cited as a selector. As promised, we have come up with an outline of the sequence in which the Serials Review will be completed and also the procedures that should be employed in working with faculty:

DATE	ACTIVITY
February 9	Begin returning RLIN-searched lists of candidate titles to selectors
February 11	Letter to LS&A, Centers faculty describing GL serials plan
February 13-23	Selectors receive their RLIN-searched lists and begin reviewing serials again
	If information regarding Michigan State/Wayne holdings is needed for title decisions, contact Richard Jasper to have Michigan Library Consortium fiche searched
	Innovacq lists will be returned and/or made available for selectors
	If necessary, selectors identify additional titles for consideration
	Target savings figures for each Cluster Group will be established and discussed with selectors (see attached list)
	Using Innovacq lists, selectors add cost information (where available) for titles on RLIN-searched lists

Selectors return RLIN-searched lists to the GL Administrative Office so that title cost and RLIN searching information can be added to the database

Additional titles identified by selectors will be RLIN-searched and returned to selectors for decisions on whether to include in final list to faculty

February 23-
March 1

Selectors contact appropriate LS&A department chair and/or center directors to discuss manner in which department/center wants to proceed with faculty review. Possible arrangements might include working directly with the chair/director, with an appointed department/center liaison, or a department/center committee.

Set up appointments to take lists to faculty

Lists to be taken to faculty will be printed. A number of different options exist for what might be included in the list. Title, call number, cost, selector's name and phone number, and selector's evaluative comments for each title (if any) are possibilties.

March 1-
March 15

Selectors take lists to faculty

Selectors will need to...

* Explain problem of increasing serials costs
* Know and be able to describe the GL serials review process and time frame involved.
* Ask faculty to rank titles with "1," "2," or "3" according to whether the titles are: "1" Absolutely essential to research - don't cut; "2" Useful but not essential - could rely on sources other than U-M or GL; "3" Marginal interest - cancellation acceptable.

* Know and be able to describe the process by which faculty arrive at these rankings (chair makes decisions alone, committee votes, etc.)

A group of selectors will be asked to review the CGLGEN, CREF, CDOCS, and CBIBL funds. Another group will be asked to review the CNEWS fund. In addition, Cluster Groups will review the general cluster lists.

All titles recommended for cancellation will be made available at the GL Reference Desk for faculty, students, and library staff to review.

March 22- April 5	Faculty return reviewed lists with decision and recommendations to GL selectors
March 29- April 12	Selectors review faculty recommendations, negotiate additions and/or deletions
April 19	Deadline for selectors submit final cancellation lists to GL for review
May 1	Deadline for GL to submit final cancellation list for systemwide library review
May 15	Deadline for library system to submit cancellation lists to Serials Division

TARGET SERIAL SAVINGS FOR GL SUBJECT FUNDS

BY CLUSTER GROUP

Cluster Group	10% of 1986/87 Base	Current Amount Identified
General	$ 12,700.00	$ 17,054.27
Science & Tech	$ 1,200.00	
Humanities (Not Lit)	$ 5,048.00	$ 3,310.93
Literature	$ 4,300.00	$ 9,201.07
(Total Humanities)	($ 9,348.00)	($ 12,512.00)
History	$ 5,215.00	$ 7,988.22
SBS	$ 13,370.00	$ 13,789.03
GL SUBJECT TOTAL	$ 41,833.00	$ 51,343.52

MICHIGAN - TAUBMAN MEDICAL LIB

Please CHECK THE COLUMN which best describes your opinion of the value of each title to the Taubman Medical Library collection.

	No opinion	No value - cancel	Low value - cancel if necessary	Moderate value - Retain if possible	Important title - Retain

THE UNIVERSITY OF MICHIGAN

UNIVERSITY LIBRARY ALFRED TAUBMAN MEDICAL LIBRARY Box 038

1135 East Catherine Street
764-1210

ANN ARBOR, MICHIGAN 48109

TO:

FROM:

DATE:

The Taubman Medical Library is considering subscribing to:

Title:

Publisher _____ Price _____ Starting Date _____

In order to make a decision based on local need, we would like to have your evaluative comments regarding this journal and its usefulness to research or professional practice in your department.

Comments:

Recommendation: (Check one)

Essential to have ☐

Nice to have, but of secondary importance ☐

Not needed at this time ☐

Not recommended ☐

No opinion ☐

Return envelope enclosed for your convenience

JOURNAL EVALUATION - TAUBMAN MEDICAL LIBRARY

Title _____

_____ Publisher _____

Address _____

Price _____ Frequency _____ Starting Date _____

Holdings _____

Initiated by _____ ISSN _____

CRITERIA

Country of Origin _____ Primary Language _____

Primary Emphasis: Research _____ Clinical Practice _____ Newsletter _____

Reviews _____ Other _____

Indexed in _____ ILL Requests _____

Other Locations: U.M. _____ Region III _____

Faculty Evaluation _____

OTHER COMMENTS:

Sample Issue: Requested _____ Received _____

Decision: _____ Date _____

SERIALS INPUT FORM

FUND: _____

TITLE: _____
_____

COST: _____

CALL NUMBER: _____

UM HOLDINGS

GL (volumes held): _____

OTHER (divisionals): _____

RLIN HOLDINGS

Number of locations: _____

List if 3 or fewer: _____

STATE-WIDE HOLDINGS

MS (MSU), WA (Wayne), NO (None): _____

COMMENTS: _____
_____

RECOMMENDED ACTION: __ 1 = High priority for cancellation
2 = Medium priority for cancellation
3 = Low priority for cancellation

Field Name	Data Source	Data Type	Min Len	Max Len
FUND	Keyboard	Text	0	6
TITLE	Keyboard	Text	0	120
COST	Keyboard	Text	0	15
CALL	Keyboard	Text	0	20
GLVOL	Keyboard	Text	0	30
OTHER	Keyboard	Text	0	25
RLINHOLD	Keyboard	Text	0	10
LIST3	Keyboard	Text	0	25

Total flds:11 Real flds:11

MICHIGAN- GRADUATE LIB

CRITERIA FOR SERIALS SELECTION/DESELECTION

Relevance

Does the title cover a subject field which is a particular strength of MiU collections?

Does the title cover subjects taught currently?

Is there a selection policy statement which provides guidance?

What type of publication (newsletter, official bulletin of scholarly society, popular magazine, etc.)?

What is the quality of the articles and/or the research value?

Is the title mentioned in guides to the field or in important bibliographies?

Are the authors well-known in the field or faculty member from prestigious schools or organizations?

Are U of M faculty on the editorial board or frequent contributors?

Are the articles well-documented with footnotes and bibliographies?

In the case of a foreign journal: does it concern the country (e.g. articles on economy of Spain), or is it a general treatment (e.g. articles on economics in Spanish)? The former is usually more desirable.

Accessibility

Is the title indexed in major indexes?

Is the title indexed in lesser-used indexes?

Does the title have its own cumulated index?

What is the citation frequency?

Circulation/Usage

Do bound volumes show circulation?

Are there other indications of use

What records exist in the CSR use surveys?

'78

Availability

Is title available from RLG libraries?

Is title available from CRL or BLLD?

Is title available from MSU?

Is title duplicated in other campus locations (UGL, Law, Bus. Ad., etc.)?

Does MiU have a long run?

Is MiU listed in Union List of Serials or New Serial Titles as a holder?

Cost/Format

Current subscription price?

Check-in and claiming frequency? Is it received regularly?

Binding frequency? Ease of binding?

Shelf space required?

Cost of completing holdings if gaps exist?

Does price seem reasonable in terms of content, frequency, etc.?

Quality of paper, print, graphics and special features?

Consultation with Faculty

Bad News

Journal Cancellation

Subscription inflation leads to cuts

Rampant inflation in subscription prices for academic journals will force University Libraries on the Twin Cities campus to begin canceling some journals this year.

At the Biomedical Library, where 90 percent of the collection is journals, between 500 and 700 titles may have to be canceled, Sherrilynne Fuller, the library's director, told the Senate Library Committee in November. Journals account for about 85 percent of the Institute of Technology (IT) library collection, and cuts in the subscription budget may reach as high as 20 percent, according to a January memo by Cynthia Steinke, IT library director.

Cancellations will be required from all four divisions of University Libraries—biomedical, IT, St. Paul central, and the humanities and social sciences collection. Target figures went to the four divisions in early February, but actual amounts of the cuts won't be known for several months, says John Howe, interim director of University Libraries. Much will depend on how much new soft money central administration is able to provide.

"I think most of the faculty will feel the cancellations to some extent," says Margaret Johnson, who chairs the collection planning committee for University Libraries. "The pain will not be obvious until January 1989. It will take at least six months to analyze our needs. The major invoices come up for renewal in the summer."

The practical effect of cancellations is that it will take longer for faculty and students to get certain articles. The University is electronically connected to an interlibrary loan network. "We can tell whether another library has the material," Johnson says. "It takes one to three weeks to have the material delivered, depending on how quickly the other library processes the request. We're also considering other strategies, including transmission by FAX machines."

Cancellations will begin with dropping some duplicate subscriptions held by more than one campus library. The inconvenience of those cancellations may be lessened by a document delivery system that starts on campus this spring.

Compared to other major research libraries, University Libraries has enjoyed a grace period in maintaining its subscriptions. Many other major research libraries started the cancellation process several years ago. Yale canceled 1,000 titles last year and is facing a 15-18 percent budget shortfall this year. UCLA has identified $500,000 in journal subscriptions it will cancel this year.

At the University of Minnesota, the biomedical and IT libraries have almost stopped purchasing books to protect their journal collections, Johnson says. This year that won't be enough.

"Our rate of inflation for [periodical] collections is 17 percent a year, far beyond the cost of living," says library director Howe. "For certain areas, especially foreign journals, we're seeing 30 percent—even as high as 60 percent—increases."

This year's library acquisition budget of $4.25 million reflects an 8.7 percent permanent increase from the legislature and about $370,000 in soft money from central administration. The subscription cancellations are an "inflationary retrenchment," Howe says. "Our budget has increased, but it can't keep up with the rate of inflation. No library system in the country that I know of has succeeded in keeping up with inflation."

The budget shortfall this fiscal year is $150,000, Howe says. Next fiscal year there won't be another increase from the legislature, and even with more soft money promised by the administration the shortfall could reach $800,000. Howe's most optimistic prediction for next year, figuring more soft money from administration and a slowing of subscription inflation, is a $400,000 shortfall.

A lot will depend on rates of subscription inflation. "I collect depressing information," Johnson says, pulling out some articles on subscription increases. "Here's the example everyone uses: *Brain Research* went from $2,871 to $3,826. *Chemical Abstracts*, an essential publication we carry at the biomedical, biochemistry, and IT libraries, jumped from $6,400 to $8,400. *Adverse Reaction* went from $1,100 a year to $4,500."

Overall, American journal prices are going up by 11 percent a year, Johnson says. That seems almost restrained compared to 30 percent increases from European and Japanese publishers. "Partly it's a response to the exchange rate," Johnson says, "but partly it's price gouging."

Another pressure on the serial collection is the proliferation of scholarly journals. "There's even a name for it," Johnson says: "twigging." American scholarly journals are estimated to have doubled in number since 1970.

"Journals seldom stop publishing," Johnson says. "They just become more expensive and more numerous." There are now about 5,000 different serials in University* Libraries, and more than 600 have been added in the past 10 years.

TOM FOLEY

The University protected its journal subscriptions longer than many research libraries, says Margaret Johnson, chair of the collection planning committee. Periodical inflation of 17 percent a year will lead to subscription cancellations this summer.

"We don't have, in many areas, a serial collection that compares with those at Wisconsin or Berkeley or Michigan," Howe says. "So when we start to cancel serials, we face the prospect rather quickly of canceling some fairly central publications.

"We'll begin with duplicate subscriptions, but it's surprising how small the savings will be—maybe a bit more than $100,000. That's significant, but it is not a solution."

A complicating factor is the University's crucial role in the MINITEX system. University Libraries is a major source of information to all of Minnesota and the Dakotas, lending more materials than any library in the country, including the Library of Congress. Any cancellation strategy will have to consider the availability of the material to the region, not only the University, Johnson says.

Just getting a handle on the use of journals is difficult, Johnson says. Journals are seldom checked out of the library. Most readers prefer to photocopy articles. Librarians will look at reshelving as one indication of journal use.

Another decision is whether to cancel many fairly inexpensive journals, or a smaller number of expensive journals. "There's no magic formula," Howe says. "We're trying to be honest and open so the faculty will have the opportunity to give us their best advice."

Faculty advisory committees for each of the four divisions will help establish the principles for deciding on cancellations, Howe says. He also encourages faculty to tell library bibliographers in their field about which journals are essential and which are dispensable sources of scholarship.

Ultimately, however, it will be the responsibility of librarians to make decisions on cancellations. Howe is adamant on this point. "We need to consult with faculty about the principles to be used in making cancellation decisions, but only librarians are in a position to see the needs of the entire system."

Some very tough decisions will be required. Howe has no doubt about that. What really worries him, however, is that the end is not in sight. If cancellations become an annual occurrence, decisions will only get more difficult.

A logical step is for research libraries to fight back. There has been talk of getting together to lobby publishers and coordinate joint cancellation strategies, Howe says. That may yet happen, but there appear to be some legal problems.

"It's difficult to organize a cooperative cancellation program because antitrust laws prevent libraries from consorting against a particular publisher," Johnson says. "A new interpretation of the law suggests that if libraries are considered consumers instead of providers, then they could act as a class. There's been talk of a moratorium on certain publishers, especially some Dutch and German publishers.

"I may be an optimist, but my personal opinion is that publishers are going to have to ease off within four or five years." But up to now, Johnson admits, publishers' main response to cancellations is to raise journal prices even higher. U

*ERROR (should be "in the St. Paul Campus Libraries alone"

UPDATE/ March 1988

University of Minnesota

7

UNIVERSITY OF MINNESOTA

brief

A weekly internal bulletin serving all campuses

Vol. XVIII No. 3
Jan. 20, 1988

Editor: Maureen Smith (612) 624-2801

TWIN CITIES—U Libraries next year will begin canceling some journals, John Howe told Senate Consultative Committee Jan. 24. Inflation rate for library materials is about 17% a year, he said, and for scientific journals published abroad it is as high as 30%. No library can keep up, he said. Libraries are now looking at what kinds of materials to cancel and how to limit the damage. "It's an immensely complicated set of issues," Howe said.

Immediate crisis for U Libraries is that "we are literally running out of space in Wilson for new materials," Howe said. Some space now used for study will be turned into shelf space this summer; net reduction in seats will be 15%-20%. More study space is needed on campus, he said, and U Libraries cannot be expected to provide it all.

82

The Library
Newsletter of the University of Minnesota Libraries/Twin Cities
Vol. 4, No. 1/Winter 1988

Escalating Journal Prices

by Margaret Johnson
Assistant Director, St. Paul Campus Libraries

"Libraries Stunned by Journal Price Increases" reads the title of a recent article in *Science*. Last year, it was not unusual for research libraries to experience overall increases in journal subscription prices of 20 percent or more. Foreign subscriptions increased slightly over 30 percent and prices of domestic publications crept close to a 10 percent increase. Based on information currently available, libraries can expect this year's increases in foreign subscription rates to be 20 percent or more.

U.S. research libraries have been hit hard by the decline of the dollar. Over the last two years, July 1985 to May 1987, the dollar has lost 28 percent against the pound, 44 percent against the mark, 70 percent against the guilder, and 78 percent against the yen. The price for *Brain Research,* published by Elsevier, rose this year from $2871 to $3826. Germany's Verlag Chemie increased its 1985 U.S. prices by 61.1 percent in 1986.

In addition, subscription prices for American journals are rising at a considerably faster rate than the rate of inflation as measured by the Consumer Price Index. In the last two years they have increased at four times the general rate of inflation. There has been a 36 percent increase in the past year in the price of publications from the American Chemical Society. *Chemical Abstracts* increased from $6400 to $8400 over three years.

The impact on research library budgets is obvious. Libraries are constrained from acting in concert, but the library community is sharing information about strategies. Some libraries are reducing book purchases in order to protect journal budgets; this is a short-term solution. Other libraries are eliminating all duplicate subscriptions. Librarians have proposed moratoriums on the publications of several publishers. Others are targeting cutbacks in titles of particular publishers or simply reducing the line of their expenditures to specific publishers.

Many institutions are investigating resource sharing and arrangements for the development of complementary collections, even though this means some can no longer aspire to having comprehensive collections. Most research libraries see no way out of the problem other than to begin systematic review and cancellation of journal titles. With budgets buying less and less, there are no alternatives. The University of California at Berkeley expects to cancel close to $200,000 in serials; Yale cancelled 939 titles in 1987 or approximately 15 percent of the serials budget. These steps are necessary in order to redirect monies to meet the inflating costs of the retained journals.

Most of the articles on journal price increases stress the need to keep library users informed. Few users realize that the costs of journals have been increasing at such alarming rates. Even increases to the materials budget which exceed the general rate of annual inflation (1.9 percent in 1986) seldom come close to meeting escalating journal costs.

The University of Minnesota Libraries is exploring various options as we face increasing journal costs. Through the Research Libraries Group and other national forums, we are pursuing cooperative collection development and resource sharing. We are reviewing, monitoring, and evaluating local use—cancellation of some titles seems inevitable. We are investigating alternative methods of publication and distribution of information. We are notifying publishers of our dissatisfaction with pricing trends. Though "stunned" by journal price increases, the University of Minnesota Libraries will continue to strive to provide the service and collections needed by our users.

UNIVERSITY OF MINNESOTA
TWIN CITIES

Office of the Director

University Libraries
Wilson Library
Minneapolis, Minnesota 55455

February 12, 1988

Taylor and Frances Ltd.
Attention: Editor
Rankine Rd., Basingstoke
Hants RG24 OPR, ENGLAND

Dear Editor:

During the last several years, the University Libraries of the University of Minnesota, along with research libraries across the United States, have struggled to cope with the escalating costs of library materials. The cost pressures have been most severe in the serials side of our acquisitions budget, especially among technical and scientific periodicals such as your publication Annals of Human Biology.

We are no longer either able or willing to sustain the escalating costs of serials acquisition, costs that are driven significantly by price differentials between U.S. and European purchasers of more that 100%. Even taking into account the impact of the U.S. dollar's decline against other world currencies, these differentials can not be justified.

We have now begun careful planning for the selective cancellation of serials in our collection. Cost differentials will be one of the major variables informing our decision. You will thus understand the reason if we decide to cancel Annals of Human Biology. As these cost differentials decrease, we will be better able to maintain and/or renew our subscriptions. We hope that will be possible in the years ahead.

Sincerely yours,

John Howe
Interim University Librarian
University of Minnesota

JH/kr

University of North Carolina, Chapel Hill

July 23, 1987

To: Dr. James F. Govan
University Librarian
Administrative Offices
Davis Library

From: John S. Shipman
University Bibliographer

Status of Serials and Standing Order Reviews

1. Introduction

The dramatic escalations which have taken place in the costs of both serials and standing order subscriptions over the past two years have forced most ARL libraries into implementing major review projects. The primary objective of these review projects is obvious: to reduce drastically the number and thereby the overall cost of subscriptions to both serials and standing orders held by these institutions. The gravity of the current situation is such that many institutions are having to implement these reviews posthaste and to reduce serials and standing order subscriptions substantially. That the Academic Affairs Library is not at present having to resort to these more drastic measures in response to the serials situation is due to the fact that we have already had a serials review project in place for some eight years. Because we have been working on the serials problem for so long, and because we have moved systematically, if slowly, to streamline and reduce, wherever possible, our serials holdings, the overall quality, pertinence and usefulness of our serials and standing order subscriptions is vulnerable to the indiscriminate application of any additional across-the-board reductions.

2. Background

The reasons for the creation and approval of the original serials review project by the Library Administrative Board during FY1979-1980 mirror many of the same circumstances we face today. At that time Serials subscription costs had been increasing at a double digit rate and we anticipated very little if any increase in State funding for library materials. The budgetary lines for new subscriptions (then subdivided into separate serials and standing order lines) were totally insufficient for even the most basic and reasonable demands for new journals and sets.

In establishing the serials review program in 1979-1980, the Library Administrative Board had two primary objectives: 1) to reduce the number of serials titles the Academic Affairs Library held; and, 2) to provide incentives to the academic departments to undertake and to support actively such a review project. In order to accomplish these two goals it was decided, in conference with and as approved by all academic units, that cancellations

would be rewarded by a return of 80% of the cost of the subscription cancelled. The amount returned would be available to the unit cancelling to use for new subscriptions.

(At the time we undertook this approach to our serials holdings, few institutions had actively undertaken ongoing serials review projects, because for most ARL libraries the situation in 1979-1980 had not reached the critical level we were then experiencing; and, for those few institutions which had moved to establish a similar review program for their serials, the absence of the type of incentives we initiated, greatly restricted their usefulness and productivity.)

By fiscal year 1980-1981 the serials cancellation and serials cancellation credit program was formally in place. It has remained active since that date.

Until 1986, the identification of serials and standing order titles eligible for cancellation review was essentially the responsibility of the various academic departments and library units. Information on significant price increases for specific titles was regularly made available to each unit by Marcia Tuttle, Head of the Serials Department; and, the units continued to be encouraged to remain active in their ongoing review of serials, especially in light of their many recurring and unmet requests for additional funds to place new serial and standing order subscriptions.

During the same eight year period, the issue of duplication was also addressed. Through the various agencies developed by the Library Administrative Board, such as the General Serials Committee and the General Science Committee, strong emphasis has been placed on not duplicating holdings on campus or in the region. Only those titles which were justified to the highest degree were allowed to be duplicated. The responsibility to minimize duplication was and has been taken seriously by all those involved with administering our serials holdings.

3. Current Status of Serials Review Project

In the spring of 1986, the first indications of the worsening situation relative to foreign currencies and the extraordinary subscription price increases became evident locally. We developed a new strategy to reinforce further the existing serials cancellation project. The keystone of this new strategy was providing each of the 70 units responsible for serials subscriptions with information as to the actual cost of the titles they held, the price of these titles over a five year period, and the relative percentage of increase in cost over the past five year period. As the Library does not have an automated serials or acquisition system which could provide this type of management information readily, it was necessary to undertake the

task manually. During the summer and early fall of 1986 Marcia Tuttle and Lisa Orgren-Streb compiled a list of all serials titles costing more than $250 per annum. This list was broken down for each funded unit. Included on each list was the full title plus cost of each subscription for each of the past five years and a percentage increase over this period of time. At the beginning of the Spring semester these lists were distributed to all funded units along with a letter stressing the critical nature of the present serial subscription costs. The cover letter was followed by other memoranda, notes, discussions and meetings, all of which served to underscore the importance of this increased emphasis on serials review.

The response to the new initiative undertaken this year has been remarkable. At the time of writing we have in process approximately $19,000 of serials cancellations which will in turn result in $15,000 in cancellation credits. Another $2,750 is awaiting approval and processing. Some academic departments, such as Math/Physics and Botany, have indicated that more titles will be recommended for cancellation before September 1. In addition the Math/Physics department and five social science departments have requested to review their entire lists of serials holdings with the intention of determining titles eligible also for cancellation before September 1. There is widespread recognition of the current impact that foreign exchange rates, serials inflation and limited funding are having on the Library's overall budget. At the same time we have gained considerable good will through the reasonableness of the process we are applying and have applied to our serials holdings reviews. We are, nevertheless, also receiving clear indications that this prolonged period of emphasis on cancellation is resulting in some very painful decisions having to be made. Typical of the degree to which the current review project now strikes home are the following comments received from Professor Robert Peet, Biology Department Book Chairman:

> In your memorandum of April 9, 1987 you requested that departments review serial subscriptions and identify candidates for cancellation. In response to your request the Library Committee of the Biology Department in consultation with the department faculty has reviewed all serials costing over $250 currently received by the Couch (Botany) and Zoology libraries. Our first discovery was that every serial we currently receive has at least one faculty advocate. We would prefer not to cancel any subscriptions. However, we do realize that funds are tight, plus we have identified many new titles for which we feel it very important to initiate new subscriptions. We have, therefore, identified a set of serials we request you to cancel with the understanding that we will retain 80% of the current cost to be used for new subscriptions. Please

note that we would prefer not to lose any of these.

Similar comments have been received from a broad cross section of the departments and units within Academic Affairs. Simply put, while the response has remained positive in nature, the ongoing review project for serials is beginning to strike bone.

In the fall of this year we will circulate manually compiled lists of serials costing between $100 and $250 to all departments. In the spring of 1988 the final list of titles with subscription costs below $100 will be circulated to all units concerned. Beginning September 1, 1987, the current cancellation credit of 80% will be reduced to 50% in an effort to gain an even greater yield from cancellations, although thereby further restricting the ability to add new titles. During the course of the current fiscal year, we will also begin a standing order review process which will parallel that of the serials review process except that there will be no cancellation credits generated by standing order cancellations.

4. Impact

In fiscal year 1979-1980 Serials subscriptions and Standing Orders for the Academic Affairs library comprised 42.6% of our state allocated materials budget. In the last fiscal year 1986-1987 Serials subscriptions, Standing Orders and New Subscriptions required 47% of our state allocation. At North Carolina State during FY1986/87 approximately 64% of their state allocation was committed to subscriptions and standing orders. At Duke in 1983/84 approximately 59% of the Perkins System Budget was allocated to continuations, periodicals and newspapers. According to Ginny Gilbert at Duke their total serial and exchange expenditures in 1986/1987 accounted for approximately 51% of all expenditures.

From this comparison it is obvious that we have maintained a relatively low percentage of our state allocation in the serials and standing order lines, especially when compared to our sister institutions. While we do not have some of the expensive serials programs that other institutions have (eg. engineering, forestry, architecture, applied sciences), it is also a measure of the relatively limited monies we have made available for new subscriptions over the last decade and, most importantly in the context of this report, the consistent effort we have put into streamlining our serials and standing order obligations. To date this control has been maintained without the need to resort to wholesale cancellations or sharp reductions in serials subscriptions. Whether and for how long we are able to continue to resist the application of these more drastic measures is directly related to the level of funding we receive and those other external factors such as the declining dollar, inflationary

increases and marketing tactics over which we have far less control.

5. Processing

The great care with which we treat our serials holdings is most clearly manifested in the process that we apply, by policy, to their cancellation. Each title to be cancelled has first of all been reviewed by the appropriate book chair, departmental librarian and interested faculty. Once the decision to cancel is made the title and all relevant information is forwarded to Marcia Tuttle. Marcia in turn presents the title and all documentation to the appropriate committee of the Library Administrative Board, i.e. the General Serials Committee or the General Science Committee, for their approval. Once the initial approval is gained from the committee, the information about the title is circulated to all book chairs and departmental librarians for their comments. If any individual or department feels that a title should not be cancelled then they communicate with Marcia who refers the title and the comments in opposition to cancellation back to the Serials or General Science committees. If the argument in favor of not cancelling is strong enough, then the title and the funds to cover its cost are shifted to the unit expressing continuing interest in retaining the serial. If no negative communication is received after distribution, the title is cancelled.

It is important to note that, as part of the above process, both Duke and N.C. State are also notified as to our intent to cancel. They, as much as any faculty member or librarian locally, can request that the cancellation decision be reviewed and the title retained. This cooperative relationship is further reinforced at an earlier stage in the review process. Before beginning their individual reviews, departments are asked to take into account holdings at our own Health Sciences and Law libraries in addition to those titles held at Duke, N.C. State and the Center for Research Libraries in Chicago. Each decision to cancel is made with the understanding that these additional considerations have been taken into account. Decisions to cancel are also communicated among the three separate institutions so that we do not eliminate all holdings of any particular title-- except if warranted qualitatively-- from our regional consortium.

That the above process, which has been in effect for many years, has as many checks and balances as it does is the direct result of the importance attached to our serials holdings by the Academic Affairs faculty. For the most part, significant effort, especially in light of funding and the other pressures dealt with at length above, went into the selection process for each serial. Similar effort was therefore required at the other side of the process.

6. Conclusion

Although considerable energy and thought is being directed towards serials and standing orders and is meeting with some noteworthy degree of success, it should not be misunderstood that we, alone among ARL libraries, have the situation totally under control. Unanswered questions about the possibility of higher foreign exchange rates, serials inflation in general, and the amount of support we will receive from the still forthcoming state budget continue to plague us. Quality maintenance and control in the serials and standing order lines, as in all other materials lines, has been our primary preoccupation. We have accomplished much in an unstable environment. Further accomplishments will depend on the level and degree of support we continue to receive from both the University and the State.

Enc.

CC: Joe Hewitt
Marcia Tuttle

Press Release

For more information, contact: Annette Melville, Senior Program Officer
The Research Libraries Group, Inc.
Jordan Quadrangle, Stanford, California 94305
(415) 328-0920

RLG BOARD PASSES RESOLUTION ON SERIALS PRICES

July 1, 1988 -- The current and anticipated costs of scholarly journals are a continuing dilemma for libraries. Members of the Research Libraries Group have spoken on this issue as individuals and in concert with fellow research librarians, in articles, hearings, and resolutions.

At the February 1988 meeting of RLG's Board of Governors, the Board passed the following resolution:

> Whereas, the dramatic increases in the prices of serials, particularly for scientific and technical titles, has reached the point of severely damaging the ability of RLG libraries to provide essential scholarly information in other disciplines and other formats:
>
> Be it resolved, that the RLG Board of Governors urges the publishing community, especially the publishers of scientific and technical journals, to hold the line on subscription costs for the rest of 1988 and for all of 1989 as a token of concern by the publishing community for the producers and consumers of the information, the scholars and students in our universities.

Memo

e Research Libraries Group, Inc.

ate: May 18, 1988

: The Board of Governors

om: Joseph A. Boissé, Chair, CMDC

bject: Cooperative Serials Access; Update

In February 1987 the Board charged the CMDC to develop plans to insure cooperative access to serials of interest to the RLG community. In October 1987, I reviewed what had been done in the initial months of the effort. Shown below is a summary of developments since fall 1987.

1. **Short-term serials project:** Spotlighting some 2700 titles with an annual subscription fee of over $200 per year, the short-term project was designed as an emergency effort to guarantee continued serials support during a difficult budgetary year. By fall 1987, thirty-four member libraries pooled information on titles they would be willing to acquire for three years. Some CMDC members have applied the methodology to the local review of serial subscriptions. There are presently no CMDC plans to continue the project.

2. **Long-term serials project:** The major thrust of the CMDC serials plan, the long-range serials project, has initially focused on three disciplines--Chemistry, Mathematics, and Business--chosen on the basis of member interest and support. For each field, a team of subject bibliographers is developing a list of domestic and foreign serial titles required for in-depth scholarly coverage. In Conspectus terms, this would represent a "4+" collection. The CMDC plans to collect institutional commitments for acquisition for the next five years, recommend steps to publicize the commitments, and suggest a review process to keep the scope of the list current and the institutional commitments up-to-date.

Participation: The participants have been drawn from the following institutions:

Chemistry: Northwestern University (chair), Johns Hopkins University, University of California at Santa Barbara, University of Florida, University of Minnesota, and State University of New York at Stony Brook.

Mathematics: University of Michigan (chair), Brown University, Columbia University, Cornell University, Louisiana State University, New York Public Library, Stanford University, University of California at Berkeley.

Business: Columbia University (chair), New York Public Library, New York University, University of California at Berkeley, University of Michigan, University of Pennsylvania, Yale University. (The group was formed in December 1987 to replace a linguistics group for which there were too few participants.)

The three groups, all of which have been working closely with the appointed CMDC liaison (University of Florida), have been encouraged to try different approaches and to develop a methodology geared to the specific tools and source materials of the targeted discipline. The idea is to test what works and what does not, and to build successful aspects of these pilot efforts into an effective long-range plan for RLG libraries.

Building a list: Each group is taking a major indexing/abstracting service source as a starting point and adding titles identified through local holdings, acquisitions lists, and other sources. The Chemistry group is beginning with the "1000 journals most frequently cited in Chemical Abstracts (CASSI) together with citations from the "Journal by Category" section of the Journal Citation Report volumes from the Science Citation Index (SCI); the Mathematics group is starting with the list of journals indexed by Mathematical Reviews; the Business, ABI/Inform. In addition, A Classification of Instructional Programs (SuDoc ED 1.102.C56/987), a federal document that describes the scope of academic programs, has been tapped by the Chemistry and Mathematics Groups to establish the boundaries of each discipline.

Project schedule: The Mathematics and Chemistry groups--both have been holding regular conference calls since February--will be reviewing their lists and suggesting tentative commitments on June 14 (the meetings will be held in conjunction with SLA). They plan to circulate the lists to the CMDC for comment during the summer, and produce a report for review at the October CMDC meeting. They anticipate uncovering some titles which no RLG members carry, and will bring the matter for discussion to the CMDC this fall. The CMDC has already recommended seeking the approval of the appropriate Board member for institutional collecting commitments and exploring use of the 690 field of the RLIN serial record for the disseminating the commitment information.

Members of the Business Group in the New York-Philadelphia area framed the business project outline in March and reviewed tasks at a session held during the Academic Business Libraries Management Conference on May 13. The group will also be meeting at SLA. It anticipates a December completion date for its list, tentative commitments and report.

This effort has provided the CMDC an opportunity to experiment with techniques for facilitating communication and cooperation among geographically-scattered subcommittee members. The CMDC hopes that a long-range plan incorporating the most successful aspects of the pilot projects can be developed and implemented in phases.

3. Other efforts: A special task force (Yale <chair>, Dartmouth, Michigan, and Louisiana State) has explored other issues relating to serials access. One of its recommendations has been the establishment of gateway linkage of RLIN with the data bases of selected serials vendors. The CMDC is now developing a list of vendors with which gateway access might be desirable. RLG is looking to distributing information to these firms in fall 1988.

The task force also initiated the statement, "RLG Goals in Addressing Escalating Serials Prices," that was approved by the Board in late February.

UNIVERSITY AT BUFFALO
STATE UNIVERSITY OF NEW YORK

Health Sciences Library
University Libraries
Abbott Hall
Buffalo, New York 14214
(716) 831-3335

May 5, 1988

Dear Faculty Member,

The Health Sciences Library is facing a severe acquisitions budget crisis and therefore must undertake a comprehensive review of its journal collection. We need your help. As many of you know already, inflation, publishers' price increases, and the devaluation of the U.S. dollar have caused journal prices to skyrocket over the last three years. We have to make sure that the library's acquisitions budget is allocated as wisely as possible to meet your essential research and information needs. Please take a few minutes to review and complete the enclosed questionnaire.

The following are a few facts and figures about journal publishing which further explain the present cost crisis:

1. DIFFERENTIAL PRICING

The practice of charging individuals a lower journal subscription price than for libraries and, in many cases, also not allowing individuals to turn over their subscription to a library.

2. DISCRIMINATORY PRICING

The practice by many foreign journal publishers of maintaining three subscription rates: one for their domestic subscribers; a higher rate for foreign subscribers outside of North America; and an even higher rate for North American subscribers.

3. FOREIGN JOURNAL COSTS

Continued devaluation of the U.S. dollar is resulting in significant price increases. Examples: Brain Research cost $3,861 in 1987 and will cost $4959 in 1988. European Journal of Biochemistry cost $1088 in 1987 and will cost $1,379 in 1988. International Journal of Cardiology cost $417 in 1987 and will cost $502 in 1988.

4. NEW JOURNALS

The proliferation of new journals continues unabated. According to figures recently published by Ulrich's International Periodicals Directory, 29,621 new journals in the sciences have been launched since 1978.

5. INDEX AND ABSTRACT JOURNALS

These materials are very costly but important for biomedical research, investigation and patient care. The question is, how much longer will library budgets stretch to cover these tools. Examples: Science Citation Index - $7,450 for the annual subscription and $17,000 for the five-year cumulation. Chemical Abstracts - $9,300. Excerpta Medica - $16,544. Biological Abstracts - $6,665.

The purpose of this survey is to insure and maintain the quality of the journal collection as the acquisitions budget allows. With your assistance in identifying the most critical titles, the Health Sciences Library will be better able to safeguard these vital information resources.

Sincerely,

C.K. Huang
Director

ADDITIONAL READING

"Libraries Face Journal Cuts" by Anthony Chase. Reporter, Vol. 19, May 5, 1988, pp.1-2.

"Libraries Stunned by Journal Price Increases." Science, Vol. 236, May 22, 1987, pp.908-9.

"Scholarly Publishers Who Charge Outrageous Prices for Journals May Get Some Unexpected Competition," by Richard Dougherty. The Chronicle of Higher Education, June 3, 1987.

"Weaker Dollar Squeezes U.S. Libraries" by Stephen Greene. The Scientist, Vol. 1, May 4, 1987, p.6.

HSL JOURNAL COLLECTION REVIEW
May 1988

Name_____

Department_____

Address_____

Phone No._____

1. Journals CRITICAL for my research, teaching, patient care:

2. I would be willing to assist HSL in evaluating individual journals titles in my field for addition or cancellation:

YES_____ NO_____

3. Suggestions/comments regarding HSL's collections and services:

PLEASE RETURN THIS FORM TO: Nancy Fabrizio
Rm. 126 Collection Development
Health Sciences Library
SUNY Buffalo
Buffalo, NY 14214

UNIVERSITY AT BUFFALO
STATE UNIVERSITY OF NEW YORK

Reference and Collection Development Department
Lockwood Memorial Library
Buffalo, New York 14260
(716) 636-2818
(716) 636-2817

To: Barbara von Wahlde

Fr: Charles D'Aniello
for Journal Review Task Force

Date: 4 April 1988

Re: Serials Review Project

Please find enclosed:

1. a suggested time table;

2. an evaluation form previously designed and recently slightly modified;

3. and an instrument HSL plans to use.

In its most recent form, the time table has not been reviewed by the entire Task Force. It does, however, with only minor changes, reflect our most recent discussions.

cc: Wilma Cipolla
Jim Coover
Sue Davis
Nancy Fabrizio
Ken Hood
Marcia Zubrow

Suggested
Stages in Serials* Review

*Depending upon the nature of their serial collections, libraries may emphasize different types of serials in their review.

I. **(early March)** Discuss the effect of serial price increases on the acquisitions budget of the University Libraries -- BvW with deans.

II. **(April)** Discuss the effect of serial price increases on the overall acquisitions budgets and particular funds of specific libraries -- unit heads and selectors with (as appropriate) deans and chairpersons.

III. **(mid April)** Identify subscriptions for review (may be combined with stage V) and review list of duplicate titles.
   A. Selectors identify subscriptions for analysis, or
   B. send lists to faculty chairpersons, library liaisons or committees who identify subscriptions for analysis by either indicating titles perceived as important or titles perceived as less important.

IV. **(mid April)** Preliminary review of candidates chosen for analysis using Serials Evaluation Form, side #1 (holdings, indexing, price).

V. **(late April)** Consult with faculty (each unit will select a methodology most appropriate to its context and may choose to combine this stage with stage III).
   A. Complete side #1 of Journal Evaluation Form or employ another means to obtain a ranking or categorization;
   B. solicit recommendations for new subscriptions.

VI. **(early May)** Set budgetary targets within units and/or funds, following interaction between unit heads and administration.
   A. As appropriate to unit priorities, balance the addition of subscriptions with cancellations.

VII. **(mid May)** Inter-unit consultation.

VIII. **(early June)** Decide on cancellations and new subscriptions; process cancellations.

IX. **(June - August)** Conduct detailed analysis of cancellations.
   A. Selectors complete side #2 of Journal Evaluation Form, and
   B. using combined responses from complete Serials Evaluation Form (sides #1 and #2), rank cancellations.

X. **(September - October)** Finalize cancellations -- reinstate as appropriate.
   A. Finalize targets.
   B. Consult with faculty.
   C. Reinstate as appropriate.

XI. Process new subscriptions.

Library Name: _____

SERIALS EVALUATION FORM

Title: _____

Complete Holdings:

Currently Indexed In:

Price:

Rate all factors from 1 - 4.	Initial Rating	x	Weight*	=	Final Rating
Importance to UB Curriculum 1=low; 2=moderate; 3=high; 4=crucial	_____	x	3	=	_____
Importance to UB Research 1=low; 2=moderate; 3=high; 4=crucial	_____	x	3	=	_____
Publisher Reputation 1=questionable; 2=unknown; 3=good; 4=excellent (academic or univ. press)	_____	x	1	=	_____
User Recommendation 1=unnecessary; 2=useful; 3=desirable; 4=critical	_____	x	2	=	_____

*The assignment of weights is optional for this section..

Completed by: _____ Date: _____

Return to: _____ by _____ (date)

_____

	Initial Rating	x	Weight*	=	Final Rating
U.B. Duplication 1=same library; 2=same campus; 3=other campus; 4=none	_____	x	2	=	_____
Indexing 1=not covered; 2=in 1 index; 3=in 2 indexes; 4=in 3 or more indexes	_____	x	2	=	_____
Usage (actual/estimated/anticipated) 1=few users, 1 dept./discipline; 2=few users, few depts./disciplines; 3=many users, 1 dept./discipline; 4=many users, many depts./disciplines	_____	x	3/2/1	=	_____
Interloan Availability 1=other UB library; 2=WNY; 3=available through interlibrary loan; 4=not readily available	_____	x	2	=	_____
Resource Sharing/Cooperative Acquisitions Agreements 1=none; 2=national; 3=regional; 4=local	_____	x	2	=	_____
Document Delivery 1=full text available online; 2=document for sale via demand delivery; 3=unavailable now but likely in future; 4=unavailable	_____	x	1	=	_____
Citation Frequency 1=not on citation list; 2=bottom third of list; 3=middle third; 4=upper third	_____	x	1	=	_____
*Cost 1=over $; 2=$ - $; 3=$ - $; 4=under $	_____	x	1	=	_____
Requests (for proposed titles only) 1=none; 2=nonfaculty; 3=1 faculty; 4=2 or more faculty	_____	x	2	=	_____
			Total	=	_____

(higher=greater probability of retention or subscription)

Completed by: _____ Date: _____

*Weight and price ranges to be assigned by individual libraries.

UNIVERSITY AT BUFFALO
STATE UNIVERSITY OF NEW YORK

Central Technical Services
University Libraries
Lockwood Library Building
Buffalo, New York 14260
(716) 636-2510

RECEIVED
MAR 24 1988
OFFICE OF THE DIRECTOR
UNIVERSITY LIBRARIES

March 23, 1988

TO: [redacted]
Associate Vice President for University Libraries

FROM: John Edens, Director
Central Technical Services

SUBJECT: Duplicate Subscriptions

The project which you asked to have done of identifying those periodicals and other serials received in duplicate has been completed. The statement of preliminary findings is replaced by this memorandum and its enclosures.

Enclosed with this memorandum are the following:

1. Statement of methodology (copies are provided to all recipients of this memorandum).

2. Findings (copies are provided to all recipients of this memorandum).

3. List of all periodicals and other serials received in duplicate with prices for each copy and a list providing the same data except for prices (copies to you and S. Roberts, others have already received lists for their libraries).

I would like to take this opportunity to acknowledge the assistance of staff in the Health Sciences and Law Libraries as well as Central Technical Services who gave this project the highest priority.

JE/kah
cc: S. Roberts
R. Bertholf
S. Finnegan
K. Hood
W. Cipolla
D. Nuzzo
J. Coover
E. Gibson
C. D'Aniello
C.K. Huang
W. Hepfer
S. Schiffhauer

Duplicate Subscriptions in the University Libraries
March 1988

Identification of Titles: The Union List of Serials was read twice, and all titles with two or more open holdings statements were extracted. Titles which could be entered more than one way in the ULS, loose-leaf services, and serial titles handled in Acquisitions at HSL were specifically checked. Receipt and payment records were checked in CTS, HSL, and Law for all identified titles.

Inclusion criteria: To be included two or more copies of the title must be received currently for public use with at least one of the copies priced. Government documents for which two or more copies are received currently are included if one or more copies are priced. If all copies of government documents as well as all other types of publications are gratis, the title was excluded. Title received because of a paid subscription for another title with that other title included in the study and titles inactive for two or more years were eliminated. Titles which fall into one of these categories, and therefore not included, represent a minimum of 200 additional titles. Copies subscribed to for staff use only were also excluded.

Copies: The verification of duplicate subscriptions for the General Libraries resulted in the identification of duplicates located within individual libraries of the General Libraries. These duplicate subscriptions have been included. It is not certain if all such duplicates are included, however. If the only duplication is within a single location, General Libraries, HSL, or Law, the title would not have surfaced in the initial identification of titles.

Location information: For each library I am using only a single location, e.g., for LML there are no separate entries for Documents, Reference, or Library Studies, etc. If multiple open orders exist for the same library, these are shown individually under the title. Therefore, what might appear to be an erroneous duplicate listing is in reality an indication of duplicate subscriptions for the same location.

Pricing information: Prices were determined by CTS, HSL, or Law. There are variations in the prices for different copies. These variations are the result of a number of factors. First, the timing of price increase billings for periodicals can differ. Second, source of supply for non-periodicals can result in variations in price. Third, size of book budget can determine price. For example, the American Statistics Index costs HSL $1,850 while LML must pay $2,080. Fourth, publishers' pricing criteria are another reason for differential pricing. Business Periodicals Index costs LML $1,312 while the second copy which goes to UGL costs $100. There are three different prices for Polk's Buffalo City Directory based on entries in the directory. Fifth, memberships affect

price. One library may receive multiple titles as part of a membership while copies for other areas are billed at the full price. In such instances the copy received because of a membership was listed with no price. Sixth, there are instances where one area pays for two or more titles with one billing and another area receives only one of those titles. In such instances the price paid by the library getting the single title was also used for the price of that title for the other library. For example, LML receives the IIS Microfiche Library including the Index to International Studies for $7,040 but Law receives only the index. Law's price for the index, $1,125 was used for both copies of the index. Finally, there are other differences which do not appear to make sense and require further investigation beyond the immediate needs of this study.

Errors: Undoubtably, there are some errors in this study. Some titles may not have been identified. Any suspected omissions or errors should be reported to CTS or HSL or Law technical services for further checking.

Lists: CTS can produce various title lists based on the information collected. All lists are in alphabetical order and can be produced without pricing information.

1. Consolidated list of all titles for all libraries with separate pricing information for each copy.
2. List of all periodicals for all libraries with separate pricing information for each copy.
3. List of all serials other than periodicals for all libraries with separate pricing information for each copy.
4. Consolidated list of all titles for one library with separate pricing information for each copy received by that library.
5. List of all periodicals for one library with separate pricing information for each copy received by that library.
6. List of all serials other than periodicals with separate pricing information of each copy received by that library.
7. Consolidated list of all titles for one library with indication of other copies for the same or different libraries.

Duplicate Subscriptions in the University Libraries
March 1988

I. Number of duplicate subscriptions

Periodicals
543 titles of which

492 are represented by 2 subscriptions
47 are represented by 3 subscriptions
3 are represented by 4 subscriptions
1 is represented by 5 subscriptions

Other Serials
238 titles of which

184 are represented by 2 subscriptions
30 are represented by 3 subscriptions
14 are represented by 4 subscriptions
7 are represented by 5 subscriptions
2 are represented by 6 subscriptions
1 is represented by 7 subscriptions

II. Cost of duplicate subscriptions

Periodicals	$122,146
Other Serials	33,788
	$155,934

III. Cost of single subscription for all duplicated titles

$136,727

(In the case of differential pricing the higher price was used; in the case where one copy comes via a membership and all others do not, the price of the non-membership copy was used; in the case of one copy being gratis while all others are priced, no price was used).

IV. Number of titles and cost by library

The following provides the number of those titles which are subscribed to by an individual library which are also subscribed to in duplicate for the same on a different location and the annual cost of those subscriptions for the indicated location.

LML		
Periodicals	411	$40,514
Other Serials	208	21,059
AED		
Periodicals	11	$ 1,005
Other Serials	8	564
SEL		
Periodicals	90	$60,298
Other Serials	40	5,587
Chem		
Periodicals	15	$21,304
Other Serials	3	308
Math		
Periodicals	4	$ 835
Other Serials	1	38
UGL		
Periodicals	255	$18,076
Other Serials	153	13,931
Poetry		
Periodicals	51	$ 1,119
Other Serials	11	267
Music		
Periodicals	13	$ 517
Other Serials	2	55
Law		
Periodicals	82	$ 7,252
Other Serials	57	6,033
HSL		
Periodicals	209	$83,116
Other Serials	62	8,697

THE GENERAL LIBRARIES
THE UNIVERSITY OF TEXAS AT AUSTIN

Austin, Texas 78713-7330

July 16, 1986

MEMORANDUM

To: Bibliographers

From: John Womack, Serials Bibliographer

Subject: General Information Concerning the Serials Cancellation Project

The purpose of this memorandum is to review some of the basic information presented at the July 11 meeting in PCL concerning this summer's serials cancellation project and methods for the identification of titles for cancellation. For reasons brought out at the meeting, special attention is being paid to expensive serials and those ordered from foreign vendors.

Four lists mentioned at this meeting were computer-produced from the database for the Serials List. The first of these is a printout of all titles on standing order and subscription which are placed with foreign vendors, sorted by location. This list was not distributed at the meeting, but will be available in Penny Schroeder's office in Serials Acquisition, PCL 1.114.

The second computer-produced list was of all standing orders placed with Harrassowitz, sorted by location. Standing orders are defined by Serials Acquisitions as titles received irregularly or less frequently than twice a year. These are coded bib type "0". Since there is a backlog in Serials of older orders awaiting bib type designation, some Harrassowitz standing orders will not appear on these lists. Copies of this second printout were distributed at the meeting.

These first two lists, sorted by location, are of particular help to bibliographers in branch libraries and special collections. For bibliographers in PCL a third printout was produced of all current standing orders and subscriptions for PCL locations, sorted by the first two LC classification letters or Dewey decimal numbers. This PCL serial "shelf list"will be distributed by the Bibliography Department.

The fourth printout is a master list of all titles on standing order and subscription sorted by location. Most of the lists in this group were distributed at the meeting. The printout of all subscriptions for the Periodicals Room and standing orders for PCL stacks will be available in Penny Schroeder's office.

In addition to these printouts, a group of various lists of expensive orders was made available. One list was compiled by Carolyn Bucknall from serials invoices forwarded to her during this fiscal year. Another typed list was of relatively expensive titles on the 1987 Faxon renewal invoices. Most of the titles cost over $400.00. A copy of the 1986

main Harrassowitz subscription renewal invoice was distributed, as well as a supplementary list of expensive Harrassowitz standing orders and two other short lists. Copies of all of these are available in my office, PCL 6.104.

A subgroup of foreign journals of particular concern during this project are those issued by publishers who practice differential and often exhorbitant pricing for their U.S. customers. Reprints of two articles concerned with this practice which were published in Library Acquisitions: Practice & Theory were recently made available. I am distributing under separate cover copies of lists from these two articles which should be self-explanatory. Penny Schroeder is trying to obtain from the University of Michigan's Serials Department a more complete listing of these foreign journals with differential pricing, and if she is successful, it will also be distributed.

Another topic brought up at the meeting was the Faxon SCOPE Report, which provides a three-year cost analysis and summary on a per title basis, arranged by basic LC classification groups. This report is being photocopied, and various subsections will be distributed to appropriate branch librarians by Serials Acquisitions. Bibliographers in PCL and locations other than branches who would like to examine sections of the report of interest to them should contact John Harrison or Penny Schroeder in Serials. These reports are an excellent source for prices of U.S. and Canadian journals in the various subject fields.

(BNA will also soon be providing an alphabetical listing of standing orders with price history. This list will be made available when it is received.)

In deciding on candidates for cancellation, bibliographers might find it helpful to review Policy Memorandum No. 31, "Guidelines for Serials Selection and Cancellation." After decisions have been made, cancellations should be submitted on either the standard serials cancellation request forms or on lists. Information needed includes entry and location as well as actual 1986 costs for periodicals and other serials that are billed annually or the estimated annual costs for irregularly received serials. In estimating annual cost for these irregulars it is best to average invoice posting for the present and preceding two years, if the standing order has been in effect that long. It will be necessary of course to convert any posting in foreign currency to U.S. dollars. Penny Schroeder can supply any needed assistance in converting prices.

Completed cancellation requests should be sent to me at PCL 6.104 for central record keeping by bibliographer and interdisciplinary review. Previous instructions have requested that 75% of cancellations should be submitted by the end of August and the remainder by September 20. These cancellations will constitute the first tier. However, to insure that cancellations of subscriptions of periodicals take effect for 1987, Wayne Perryman has asked that these instructions be amended so that all cancellations of periodicals be submitted no later than August 25. Early cancellation of periodicals is necessary because FAXON and other vendors will renew 1987 subscriptions three months in advance, and once the vendor pays the publisher it is usually impossible to get a refund.

The University of Texas at Austin
The General Libraries
Assistant Director for Collection Development

Austin, Texas 78713-7330

November 24, 1986

TO: Bibliographers
FROM: Carolyn Bucknall
SUBJECT: Second (and Last) Wave of Serials Cancellations

Appended are tables that show serials cancellation activity to date (Column 4) and the dollar amount of cancellations still needed (Column 5) to amount to the final quota: 9.8% of the total estimated serials in your subject area(s). Amounts in curves in Column 5 indicate that cancellations were made beyond the required amount; while no additional cancellations are needed in such cases, no "credit" is attached to the excess.

I am asking that you complete cancellations in the designated amount by December 15. In so doing you will probably need to refer to the procedural details outlined by John Womack in his memorandum of July 16, 1986. If you need another copy of that memorandum, please contact John. The only new procedural question that I foresee may relate to the cancellation of journals that have already been paid for and that are not refundable. Serials acquisitions will refer any such titles to John Womack for further negotiation with you.

I strongly recommend:

1. that you involve faculty in cancellation decisions to the greatest extent possible, and

2. that you consider particularly the cancellation of monographs in series, annuals, and expensive or duplicative periodicals.

If you find you are having extreme difficulty in meeting the deadline or in identifying non-core titles for possible cancellation, please consult with me. You also have the option of joining with other bibliographers to achieve cancellation goals. (For example, an excess of funds yielded by a cancellation by one bibliographer can be applied to the quota of another bibliographer.)

xc: Wayne Perryman
Administrative Group

THE UNIVERSITY OF TEXAS AT AUSTIN

THE GENERAL LIBRARIES

POLICY MEMORANDUM

DUPLICATION POLICY

Library materials are duplicated or acquired in multiple copy to satisfy the needs of library patrons primarily on the basis of use. The restriction to duplication is expense, not only in acquisition costs but in processing and housing. In no instance should a title be duplicated either by purchase, regardless of source of funds, or gift unless a positive case can be made for such action based on the following guidelines. These apply regardless of type of material (monographs and serials) or format (hardcopy and microform).

Numerical limitations. In view of the limitations of funds and the multiplicity of its responsibilities and interests the General Libraries will acquire not more than three copies for all locations of any monographic title except for reserve or reference purposes where no more than ten copies may be acquired. All requests for additional copies of serials will be reviewed on an individual basis. Exceptions may be made only with the approval of the Assistant Director for Collection Development.

Duplication of Materials in the Same Location.

1. Demand. Present or anticipated demand may be sufficiently heavy to justify duplication based on a variety of reasons: class use, topical subject matter, recognized status of a title as a "classic," identity of the author (e.g., a UT professor, a famous writer or cultural figure, etc.), favorable reviews in the major media, great local interest, and so on.

   a. Circulation. Purchase of an additional copy of a title should be considered when a hold or recall is placed on any title.

   b. Reserve. As a general rule copies will be purchased at the ratio of one to every fifteen students although heavy concentrated use may occasionally justify a ratio of one to ten. These ratios do not apply in cases of unusually large classes. In some instances if needed multiple copies are available in paperback, one hardback copy will be ordered and additional copies in paperback provided they are not to be bound and are likely to be outdated or not used for more than one year.

2. Poor condition of present copy. If a frequently used work is showing serious signs of deterioration, it should be replaced before it is virtually unuseable. Consideration should also be given to the need to duplicate such frequently used books.

3. Preservation. Special collections may in certain instances acquire duplicate copies of titles to allow for present use of one or more copies and preservation of another for future use of later generations.

Duplication of Materials in Two or More Locations.

1. Relevance. Duplication of a title in more than one location is made only when that title has direct relevance to the collecting policy needs of the other location.

2. Convenience. Geographical distance alone is not sufficient reason to duplicate a title in an additonal location. Primary factors in such a decision will be relevance, amount of use anticipated at the additional location, and expense of duplication. Convenience will be given consideration as a secondary factor.

   If a particular item is in a collection where its circulation is restricted, there may be more justification for duplicating the item in another location.

Other Considerations.

1. Cost. Very costly items will obviously be duplicated with more reluctance than inexpensive items.

2. Language. Foreign language materials are generally not duplicated although Latin American imprints are duplicated freely because of their use and difficulty of replacement. Important works of major foreign writers are frequently duplicated for Main and the Humanities Research Center. Translations of important works may be duplicated as need dictates in Undergraduate and Main or other locations.

3. Reference. Public service considerations should encourage the duplication of reference materials in any unit that requires a title. However, care should be taken in duplicating general tools and bibliographies not bearing directly on a unit's specialization. (A Reference Collection Policy should establish principles for location and duplication of reference materials.)

4. Binding. Heavily used periodicals may require binding-copy subscriptions. Some titles might better have backfiles maintained in microform. (A Duplicate Binding Policy should establish limitations on the number of copies bound in the Library and guidelines on the format of subscriptions and backfiles.)

5. Building program. While the emphasis on duplication is to meet current needs, consideration of duplication, especially of serials, should be made in light of anticipated changes in location of units.

6. Photoduplication. Requests for duplication in Xerox copy or microform will be decided on their individual merits. (Refer also to Microfilming Policy and Xeroxing Policy.)

Responsibility. Recommendations for duplication are the responsibility of bibliographers, branch librarians, and other unit or special collection heads. Final approval will be made by the Assistant Director for Collection Development, in consultation with the associate and other assistant directors.

THE UNIVERSITY OF TEXAS AT AUSTIN
THE GENERAL LIBRARIES

POLICY MEMORANDUM NO. 31

GUIDELINES FOR SERIALS SELECTION AND CANCELLATION

Selection Criteria

The following selection criteria are listed, insofar as is practicable, in priority order. Not all criteria will apply to all titles; however, it should be noted that they do apply to gifts as well as to purchased materials. The Duplication Policy addresses criteria for the acquisition of multiple copies of serials.

1. Relation to the Curriculum and Research.

   The serial should support academic or library programs. Factors to consider are: quality and reputation of the program, enrollment, level and number of courses offered, the number of faculty or graduate students actively engaged in research in a particular field, and faculty requests.

   Subscriptions to interdisciplinary serials may be justified by the aggregate of programs supported where they could not be justified on the basis of a single program.

   Many serials of a general or popular nature bear only an indirect relation to academic or library programs, and their selection may be made on other bases altogether.

2. Relation to the Total Collection.

   Consider present library coverage of a subject to determine whether the title makes a new contribution to the field. Titles proposed in subjects where present holdings do not yet meet collecting levels assigned in the Collection Development Policy should be favored, other considerations being equal.

3. Quality.

   Factors to consider in assessing quality are: the reputability of editors and contributors; the reputability of publishers or sponsors, usually preferring a learned or professional society to a trade publisher; quality of earlier numbers, if the serial has been in existence for some time. Reviews and faculty opinion should be sought in assessing quality.

4. Language of Publication.

   Where English is designated in the Collection Development Policy as the primary language of collection, only the most important serials in other languages may be acquired.

5. Indexing.

Consider whether the title is included in abstracts and indexes in the General Libraries and also whether or not it provides its own index. Use will be generated by such indexes.

6. Demand.

Consider probable intensity of use. A high level of use may be the result of a large user population or emphasis on periodical literature in the particular discipline or program. In assessing requests generated by an individual's research, weigh carefully to determine overall potential use.

Demand may also be a factor in considering serials of a more general or popular character, but it should be considered in relation to other selection criteria.

7. Accessibility.

Accessibility should be viewed as a concomitant of demand. The greater the anticipated use, the greater the need to acquire for the General Libraries. As anticipated use diminishes, immediate geographic accessibility becomes less important.

Consider whether the title is accessible elsewhere on campus; in the city, state, region, or country; or through the Center for Research Libraries. Mutual agreements with other appropriate libraries should be sought in determining selection responsibilities where cost is excessive, anticipated use is low, or subject is of peripheral collecting interest only.

8. Cost.

Cost should be considered in relation to other selection criteria. Low cost alone is not a reason to acquire a serial; the title should meet other selection criteria. Unusually high cost may, however, be cause for rejecting or postponing acquisition of an otherwise desirable serial. It is important to keep in mind that cost includes not only the purchase price of the serial but also the on-going expense involved in record keeping, binding, etc.

Cancellation Criteria

All selection criteria listed above must be carefully applied when considering serials for cancellation. For example: changes in emphasis within the curriculum, major shifts in enrollment between departments or in the numbers of undergraduate and graduate majors within a department, termination of research projects, a significant decrease in quality of of publication, lack of use of publication, a substantial increase in the cost of a publication--any of these factors, as well as others referred to in Selection Criteria, may play a role in the decision to cancel a serial.

Three additional considerations are:

1. Interdisciplinary Nature.

   Consider whether the serial concerns more than one subject area, and consult all bibliographers who may have an interest.

2. Length of Backfile Held.

   A long and fairly complete backfile should weigh in favor of retaining the serial, though this is not a primary consideration.

3. Unique or Rare Holdings at the University of Texas at Austin.

   Holdings of a scholarly serial not located elsewhere in the region or the nation are an argument for continuing that subscription as a contribution to resource-sharing.

Background

The preservation of the University of Toronto's library acquisitions budget in the face of chronic pressures on the University's resources has been a high priority. Beginning in 1979-80, the University has followed a policy of "budget protection" for library acquisitions. At first, the protection extended only to the central library (University of Toronto Library) on the St. George Campus. Later it was extended to the libraries on the Erindale and St. George campuses, to the major professional program libraries (Law, Education, Music, Library Science), and finally, in a simplified form, to all formally established and recognized divisional libraries. Through the financial component of the Memorandum of Agreement with the Federated Universities, their library acquisitions budgets are afforded protection as well, albeit indirectly.

The original purpose of the protection policy was twofold: to exempt library acquisitions expenses from budget reduction and to adjust those expenses annually in relation to price inflation and currency fluctuation. Thus the policy was aimed at maintaining the real purchasing power of library acquisitions budgets.

The mechanism of the protection policy worked reasonably well from 1979-80 to the end of 1984-85. Library acquisitions budgets were maintained in real terms, and in a few instances actually increased, again in real terms. But events in 1985-86 and onward caused serious perturbations throughout the entire scheme, particularly in its capability to deal with large-scale swings in comparative currency values.

Even before 1985-86, it was apparent that different collections required different degrees of protection. Although a less serious problem (because it could be solved *ad hoc*), it nevertheless was a deficiency in the scheme.

The Original Mechanism for Establishing Library Acquisitions Budgets

The original mechanism for establishing library acquisitions budgets was quite straightforward. It was based on rates of increase in actual average prices of monographs and periodicals, adjusted on a double slip-year basis. For example, the 1985-86 library acquisitions budget was set by measuring the change in actual average prices from 1982-83 to 1983-84, and applying that rate to the 1985-86 budget. The actual rates of change -- all were increases -- are shown in Table 1.

The mechanism had one major advantage and two disadvantages. They both revolved around the same factor in the budget equation. The advantage was that, over the long term, the library could be guaranteed that the acquisitions budget would be fully protected against price increases. The guarantee was based on the provision that based the annual budget adjustment on *actual* average prices. But the

disadvantages arose from the very fact that the adjustments were based on actual prices. Because actual prices could be calculated only after they had been incurred, and after the current year budget had been set, the adjustments were always two years behind (hence the so-called "double slip-year"). Reliance on actual prices required a blending of real price increases and rates of exchange between international currencies. That is very difficult to do, especially in the case of rates of exchange, which can be highly and unpredictably volatile.

The mechanism had the unintended effect of forcing the libraries' acquisitions programs into boom-bust cycles driven by the comparative strength of the Canadian dollar. (Although other currencies were stronger than the Canadian dollar, many were just as volatile.) To put the magnitude of this problem in perspective, please consider that approximately 95 per cent of the University's acquisitions are published and purchased outside Canada, and that the relative strength of the Canadian dollar has in recent years fluctuated by as much as 24 per cent and as little as one per cent in any one year.

The performance of the original mechanism led to several objectives being set for its replacement:

1. To recognize price inflation, apart from currency fluctuation, in the base budget for library acquisitions.

2. To provide for adjustment -- either upward or downward -- within the budget year as currency fluctuates.

3. To project rates of inflation in book prices, thereby overcoming the historical inertia of the "double slip-year" mechanism.

4. To locate the risk involved in expense projections at the University level. The University would become responsible for deficits and receive the benefit of surpluses that might arise from unforeseen fluctuations in prices.

5. To make long term plans and strategies possible for library acquisitions programs.

6. To determine separate budgets for each principal library collection.

7. To provide funding automatically for the maintenance of collections, and for maintaining them on the basis of book buyers' discretion.

Determination of Price Inflation

A major problem in making a transition from a retrospective to a prospective funding mechanism was the identification of an independent source of information about price inflation for books and periodicals. there are a number of published price indices (for example, Bowker and Blackwell, and Faxon). But none matches the particular mix of each library's acquisition program. Among the several libraries to which the University's protection policy applied, there is considerable variation between the origin and type of acquisitions. In the end, the best course of action was to create a composite index that would reflect the particular pattern of each acquisition program.

Historically, the University's principal sources of books and periodicals have been the United States, the United Kingdom, West Germany, and Japan. Charts 1 and 2 portray the overall geographic patterns of acquisition. Initially, the data on which these charts are based were not routinely available from every library. But they could be assembled, and were. Separate price indices are available for each of the principal sources of books and periodicals. The rate of price inflation on books and periodicals from each of these countries was weighted in proportion to the historical level of acquisition from each country respectively to produce a composite annual rate of inflation.

The results of the analysis, portrayed in Table 2, indicated that books have increased in price by an annual average of 7.8 per cent over the long-term, and about 6.5 per cent in the short term. The comparable rates for periodicals were 10.9 per cent and 9.8 per cent respectively. Although not central to the methodology, a comparison was made of the domestic rate of inflation for each country generally with its rate of inflation for the price of books and periodicals. The rates in each case were different, and were not correlated in any statistically significant way.

On the basis of these data and analysis, an acquisitions budget can be established annually using a cumulative, composite price index for books and periodicals, with 1979-80 as the base year because that was the year in which the policy of protection was introduced. Up to 1983-84, the long term rate of inflation is the basis of indexation. For each subsequent year, the price analyses published by Bowker and Blackwell form the basis of indexation. In practice, this means that for 1987-88 indexation will be based on the most recent rates of inflation from 1984-85 onward. For 1988-89, as new data become available, the index will be revised to reflect the then current rates of inflation. The proposed inflation index is displayed by Table 3.

The important conceptual dimension in this approach is that in annual inflation "ratchet" is replaced by a genuine index. The critical result is that whatever inaccuracies there may be in projected rates will be self-correcting over time.

Determination of Currency Adjustment

Since the introduction of the budget protection policy in 1979-80, the Canadian dollar has fluctuated dramatically against the currencies of the nations from which most of the University's books and periodicals are purchased. (Please see Charts 2 and 3). Just as a composite index was devised for determining and projecting rates of inflation, a composite value was devised to express the real purchasing power of the Canadian library acquisitions dollar in international markets.

Although the Canadian dollar has steadily declined vis a vis the U.S. Dollar, it had been gaining almost as steadily against the Pound and Deutschmark, with the combined effect of gains largely offsetting losses, as displayed by Chart 4. In September, 1985, the Canadian dollar began to deteriorate rapidly against the Yen, the Pound, and the Deutschmark, thereby removing the buffer that had been available to compensate for the weakness of the Canadian dollar in relation to the U.S. dollar. The result was a dramatic and sudden reduction in the purchasing power of the library acquisitions budget for 1985-86.

That reduction exposed the inadequacy of the original method by which library acquisitions budgets were set. Because of the reliance on actual prices and, inexorably, on the "double slip year", the original mechanism could not react quickly to the rapid changes in the dollar's purchasing power. For many other categories of expense in the University, such a delay in adjustment could be managed. But in the case of library acquisitions, a failure to adjust almost immediately can have an irrevocable harmful effect. For example, a library cannot wait two years for the funding necessary to keep up subscriptions to periodicals.

The first step in devising a more responsible mechanism was to make an assumption about the future strength of the Canadian dollar vis a vis other currencies, principally the U.S. dollar. Although some small gains may be expected in the Canadian dollar against the U.S. dollar in the near term, there are no predictions of major improvement over the long term. The uncertain outcome of free-trade negotiations between the United States and Canada make virtually any projection problematic. The possibility that Japan and West German may devalue their currencies introduces further uncertainty.

These uncertainties notwithstanding or perhaps because of them, a benchmark had to be established for the value of each currency. The benchmark in turn will be used as a basis for making timely adjustments in library acquisitions budgets as currencies vary. These adjustments will not necessarily be permanent, but will be aimed at maintaining the real value of a given library acquisitions budget until the next budget cycle.

The base library acquisitions budgets for 1987-88 will be established using the following benchmark values of major currencies:

Japanese Yen	$ 0.0057
British Pound	2.1600
Deutschmark	0.5500
U.S. Dollar	1.3790

When measured against 1979-80 funding levels, these benchmarks produce a 5.43 per cent increase in base budget requirements for books and an 8.44 per cent increase for periodicals in UTL. (Figures for other libraries are similar to these.)

Once the 1987-88 budgets are set on this basis, actual exchange rates will be reviewed and measured against the benchmarks on approximately a quarterly basis. Library acquisitions budgets will be adjusted on the basis of those reviews and measured. These will not be base budget adjustments. Not all will be increments. Depending on the direction of the fluctuations in currency values, the adjustments could be downward as well. In any case, as long as the proposed mechanism is in place, there will be no further adjustments to base budgets for library acquisitions.

The proposal obviously entails an element of risk because the benchmark value of the Canadian dollar may be overestimated, or the benchmark values of other currencies may be underestimated. Using historical averages and the extremes of some economic projections, one might expect the degree of risk to range within $200,000 annually. That is a risk that the University should be prepared to take, for two principal reasons:

i. Assuming that the protection policy will be carried out in some way, its nominal costs will be the same whether they are met on a prospective basis or a retrospective basis. The prospective approach causes much less perturbation in library acquisitions programs, and may reduce some costs by minimizing the need for retrospective acquisitions.

ii. Adjustments to base budgets can be added or recovered on comparatively short cycles as the demands for them fluctuate. A close and timely match between funding and the need for it can produce savings, improve cash flow, and avoid a budgetary "ratchet."

Retrospective (Discretionary Acquisitions)

The concept of retrospective buying varies from library to library, and has been strongly influenced by previous levels of funding. The "boom-bust" character of the original funding scheme sometimes created demands for retrospective buying which resulted only from the timing of budget adjustments. These demands, on an accrual basis, were temporary but often established patterns of spending that were so irrevocable as to be permanent.

However defined, retrospective buying has varied considerably, as summarized in Table 5. As Chart 4 indicates the greater part of this variation is related virtually directly to the performance of the Canadian dollar. When it has performed better than expected, surpluses were created which were channeled to retrospective purchases. When it performed below expected levels, the reverse was the case.

If funding for the maintenance of existing collections, including normal rates of acquisition at book buyers' discretion, can be stabilized and guaranteed, the need for retrospective buying should decrease as fewer annual shortfalls arise for which retrospective adjustments must be made. In that case, it should become possible to develop planned programs of retrospective acquisition which are not opportunistic and not designed to serve largely as contingency funds.

The new proposal makes no automatic provision for retrospective acquisitions, except to remove the necessity of retrospective buying as a form of contingency. Where the previous funding mechanism has created surpluses that were used for retrospective acquisitions, they will be left in the base budgets for library acquisition. Table 5 displays the composition of overall library acquisitions budgets from 1979-80 to 1984-85 for the central library. The de facto balance between discretionary and non-discretionary spending has been about 20 per cent, 80 per cent respectively.

That distinction--"discretionary and non-discretionary"--seems realistic in terms of the new proposal as it applies to retrospective acquisitions. The initial budget allocation for the central library, which has responsibility for retrospective buying in several divisional libraries as well, is shown in Table 7. Of that budget--$5.8 million--$900,000 (19 per cent) can be assigned to a retrospective buying program.

Further funding for retrospective acquisition will not be provided automatically and is not incorporated in the new funding formula. Submissions for retrospective acquisitions programs beyond those already budget should be submitted by the Chief Librarian, Deans, or Principals to their respective Vice-Provost as part of the general budget process. These submissions, one would expect, will be for "one time only" supplements to the budgets.

Establishing Library Acquisitions Budgets for 1987-88

For each of the libraries listed here, the first step in establishing library acquisitions budgets for 1987-88 is the determination of the 1979-80 base spending for periodicals and current monographs, excluding retrospective acquisitions. Table 6 portrays actual expenditures for 1979-80 through 1984-85, and converts those expenditures to constant 1979-80 dollars using the proposed price and currency indices. Table 6 refers to the University of Toronto Library. Comparable tables can be constructed for each divisional library that is covered by the protection mechanism.

The adjustment to constant 1979-80 dollars produces an average expenditure over the ensuing six years of $1.3 million for periodicals and $1.2 million for current monographs. These base amounts are then adjusted by the price index and the currency provision, thus producing 1987-88 funding requirements of $3.1 million for periodicals and $2.2 million for current monographs, as shown in Table 7.

The libraries covered by this mechanism are:

University of Toronto Library
Scarborough College Library
Erindale College Library
Faculty of Law Library
Faculty of Education Library
Faculty of Library and Information Science Library
Faculty of Music Library

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TABLE 1

TABLE 1 - ACTUAL INCREASES TO ACQUISITIONS BUDGET

	INDEX USED IN BUDGET ALLOCATION					
	MONOGRAPHS			PERIODICALS		
	AVERAGE PRICE	ANNUAL INCREASE	PRICE INDEX	AVERAGE PRICE	ANNUAL INCREASE	PRICE INDEX
1978.79	$15.28			$56.19		
1979.80	$17.47	14.33%	100.00%	$63.17	12.42%	100.00%
1980.81	$17.73	1.49%	101.49%	$68.88	9.04%	109.04%
1981.82	$18.09	2.03%	103.55%	$75.75	9.97%	119.91%
1982.83	$18.20	0.61%	104.18%	$78.71	3.91%	124.60%
1983.84	$18.53	1.81%	106.07%	$83.12	5.60%	131.58%
1984.85	$19.32	4.26%	110.59%	$92.37	11.13%	146.22%

TABLE 2 -- RATES OF INFLATION DERIVED FROM BOWKER/BLACKWELL

	U.S. PERIODICALS (IN U.S. $)	U.S. ACADEMIC BOOK PRICES (IN U.S. $)	BRITISH ACADEMIC BOOKS (IN POUNDS)	BRITISH ACADEMIC JOURNALS (IN POUNDS)	GERMAN SCHOLARLY BOOKS (IN MARKS)	SIMPLE AVERAGE	COMPOSITE INFLATION
INFLATION							
LONG TERM	11.73%	8.34%	8.84%	15.00%	4.86%	9.75%	
RECENT	8.60%	2.25%	10.36%	14.23%	9.04%	8.90%	
PROPORTION BY COUNTRY							
BOOKS:	NA	42%	24%	NA	23%	11%	
PERIODICALS:	50%	NA	NA	19%	17%	14%	
COMPOSITE INFLATION							
BOOKS:							
LONG TERM	0.00%	3.50%	2.12%	0.00%	1.12%	1.07%	7.82%
RECENT	0.00%	0.94%	2.49%	0.00%	2.08%	0.98%	6.49%
PERIODICALS:							
LONG TERM	5.86%	0.00%	0.00%	2.85%	0.83%	1.37%	10.90%
RECENT	4.30%	0.00%	0.00%	2.70%	1.54%	1.25%	9.79%

TABLE 3 - PROPOSED INFLATION INDEX

YEAR	ANNUAL INFLATION RATE		INDEX, 1979-80 =100	
	BOOKS	PERIODICALS	BOOKS	PERIODICALS
1979.80			100.00%	100.00%
1980.81	7.82%	10.90%	107.82%	110.90%
1981.82	7.82%	10.90%	116.25%	122.99%
1982.83	7.82%	10.90%	125.34%	136.39%
1983.84	7.82%	10.90%	135.14%	151.26%
1984.85	6.49%	9.79%	143.92%	166.07%
1985.86	6.49%	9.79%	153.26%	182.33%
1986.87	6.49%	9.79%	163.20%	200.18%
1987.88	6.49%	9.79%	173.79%	219.77%

(Table 4 not included in Kit)

ANALYSIS OF LIBRARY EXPENDITURE WITH FURTHER RECATEGORIZATION

ACTUAL EXPENSES PLUS ENCUMBRANCES	1979/80	1980/81	1981/82	1982/83	1983/84	1984/85	TOTAL	PCT OF TOTAL
LIBRARIAN'S RESERVE	229,932	114,603	682,684	407,618	600,592	136,619	2,172,048	9.27%
LIBRARIAN'S RESERVE - DRAKE	0	24,355	24,850	25,000	25,000	25,000	124,205	0.53%
CURRENT BOOKS	900,100	1,010,600	915,447	1,137,321	1,124,065	1,234,249	6,321,782	26.98%
RESEARCH BOOKS:								
LOCAL LIBRARIES	38,267	39,447	45,761	50,317	49,556	63,233	286,581	1.22%
GENERAL CENTRAL	75,671	76,741	79,606	101,809	99,311	136,219	569,357	2.43%
RETROSPECTVE	136,251	148,461	159,052	175,401	181,061	224,568	1,024,794	4.37%
CONTINUATIONS	212,914	212,259	204,811	241,388	213,649	278,306	1,363,327	5.82%
SERIALS:								
RENEWALS	1,143,015	1,293,980	1,409,967	1,562,528	1,617,931	1,851,899	8,879,320	37.90%
NEW SUBSCRIPTIONS	11,451	11,929	14,885	17,637	37,281	27,413	120,596	0.51%
DUPLICATES	199,707	244,110	257,015	258,035	252,925	303,488	1,515,280	6.47%
SIGMUND SAMUEL DUPLICATE BOOKS	133,740	129,769	123,550	129,644	157,828	164,704	839,235	3.58%
SIGMUND SAMUEL DUPLICATE SERIALS	8,382	8,809	8,403	11,987	11,872	14,219	63,672	0.27%
EXPENDITURE FROM DEPOSIT ACCOUNTS	19,142	24,413	27,902	28,718	23,814	25,800	149,769	0.64%
	3,108,572	3,339,476	3,953,933	4,147,403	4,394,885	4,485,717	23,429,986	
GIFTS	66,512	98,085	147,479	195,104	136,437	159,538		

TABLE 6

TABLE 6 -- HISTORICAL EXPENDITURES EXPRESSED IN CONSTANT DOLLARS

YEAR	ADJUSTED FOR CURRENCY & INFLATION		
	BOOKS	PERIODICALS	TOTAL
1979.80	1,602,585	1,362,555	2,965,140
1980.81	1,485,401	1,328,126	2,813,527
1981.82	1,708,916	1,322,516	3,031,432
1982.83	1,771,665	1,348,665	3,120,330
1983.84	1,840,430	1,299,846	3,140,276
1984.85	1,548,653	1,320,191	2,868,844
1985.86			0
1986.87	AVERAGE:	1,330,317	

YEAR	ACTUAL DOLLARS			CONSTANT DOLLARS		
	TOTAL MONOGRAPHS	RETROSPECTIVE ACQUISITIONS	CURRENT ACQUISITIONS	TOTAL MONOGRAPHIC	RETROSPECTIVE ACQUISITIONS	CURRENT ACQUISITIONS
1979.80	1,602,585			1,602,585		
1980.81	1,712,311			1,485,401		
1981.82	2,050,987	737,000	1,313,987	1,708,916	614,081	1,094,836
1982.83	2,200,506	611,000	1,589,506	1,771,665	491,927	1,279,738
1983.84	2,370,782	790,000	1,580,782	1,840,430	613,274	1,227,156
1984.85	2,152,378	340,000	1,812,378	1,548,653	244,633	1,304,020
1985.86						
1986.87				AVERAGE:		1,226,437

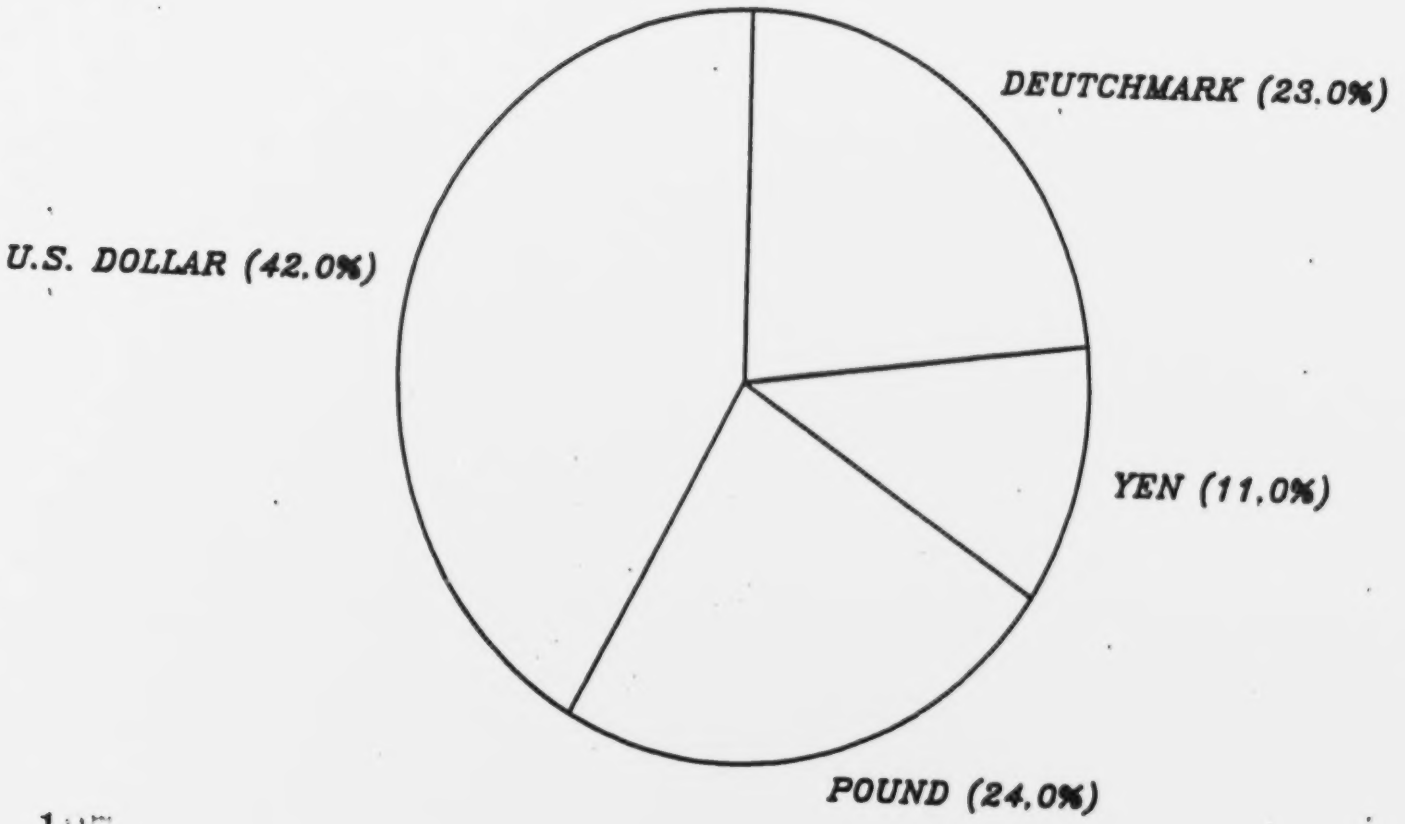
TABLE 7

BUDGET PROPOSAL FOR 1987-88

1979-80 BUDGET ADJUSTED CUMULATIVELY FOR INFLATION	BOOKS	PERIODICALS	TOTAL
1979.80	1,300,000	1,300,000	2,600,000
1980.81	1,401,660	1,441,700	2,843,360
1981.82	1,511,270	1,598,845	3,110,115
1982.83	1,629,451	1,773,119	3,402,571
1983.84	1,756,874	1,966,389	3,723,264
1984.85	1,670,895	2,158,899	4,029,794
1985.86	1,992,316	2,370,255	4,362,572
1986.87	2,121,618	2,602,303	4,723,921
1987.88 REQUIREMENT EXCLUDING CURRENCY	2,259,311	2,857,069	5,116,379
BASE CURRENCY ADJUSTMENT	5.43%	8.44%	
	122,681	241,137	363,817
1987-88 BUDGET INCLUDING CURRENCY	2,381,991	3,098,205	5,480,197
ROUNDED BUDGET	2,400,000	3,100,000	5,500,000
PLUS: RETROSPECTIVE PURCHASES			300,000
			5,800,000

FOREIGN PURCHASES BY CURRENCY TYPE

BOOK PURCHASES



FOREIGN PURCHASES BY CURRENCY TYPE

PERIODICALS

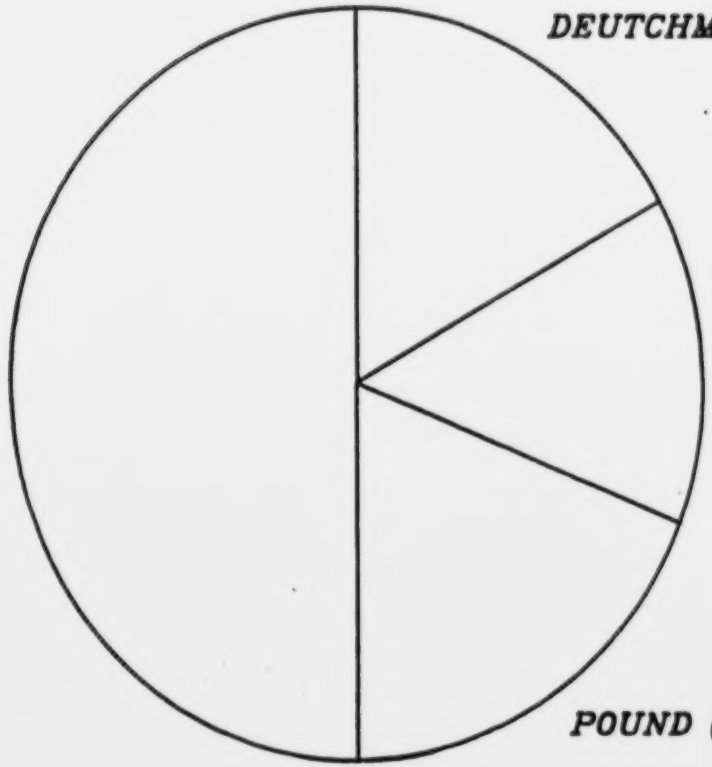


CHART 2

INDEX OF FOREIGN CURRENCY COSTS

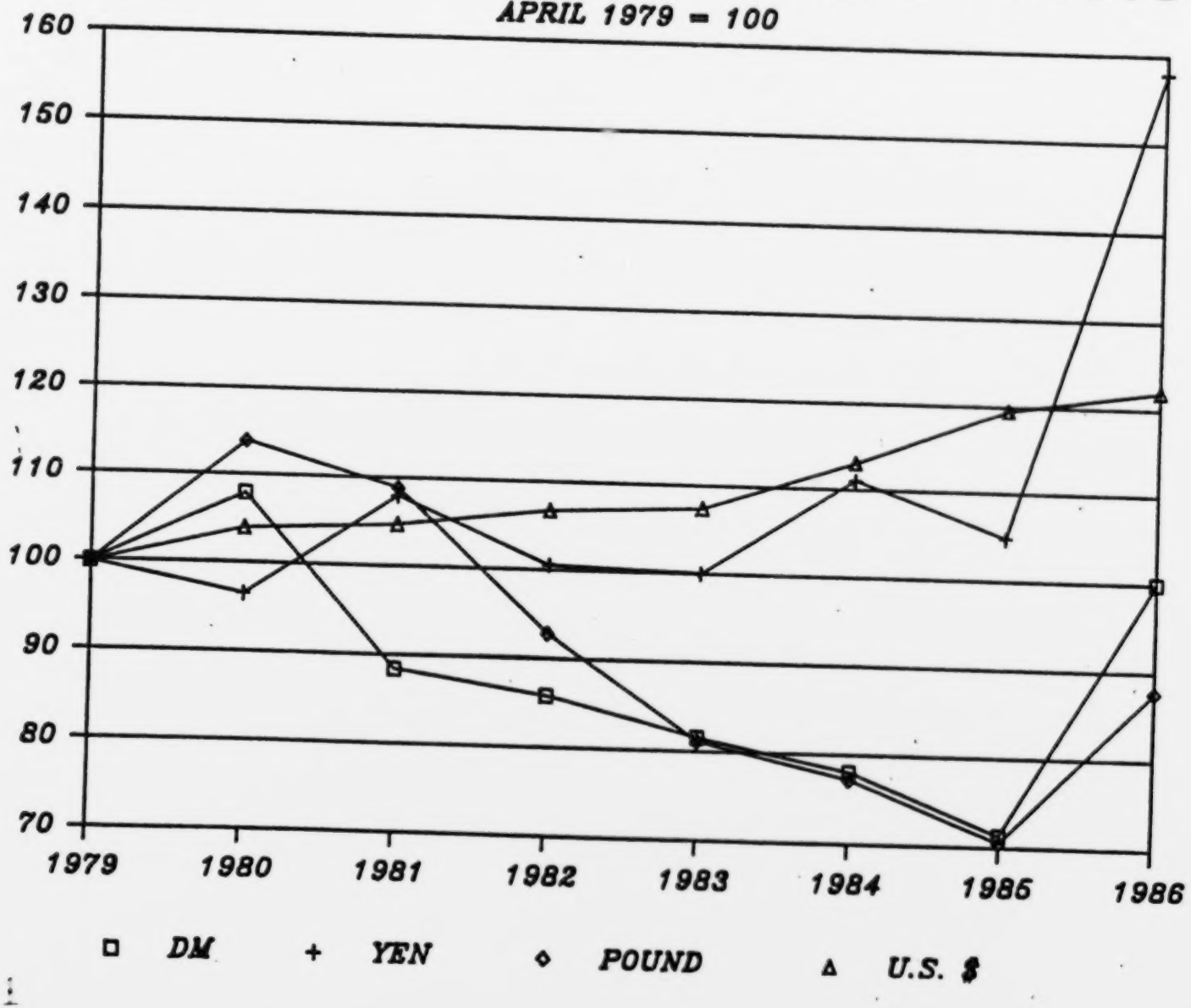


CHART 3

COMPOSITE PERFORMANCE OF THE CANADIAN $

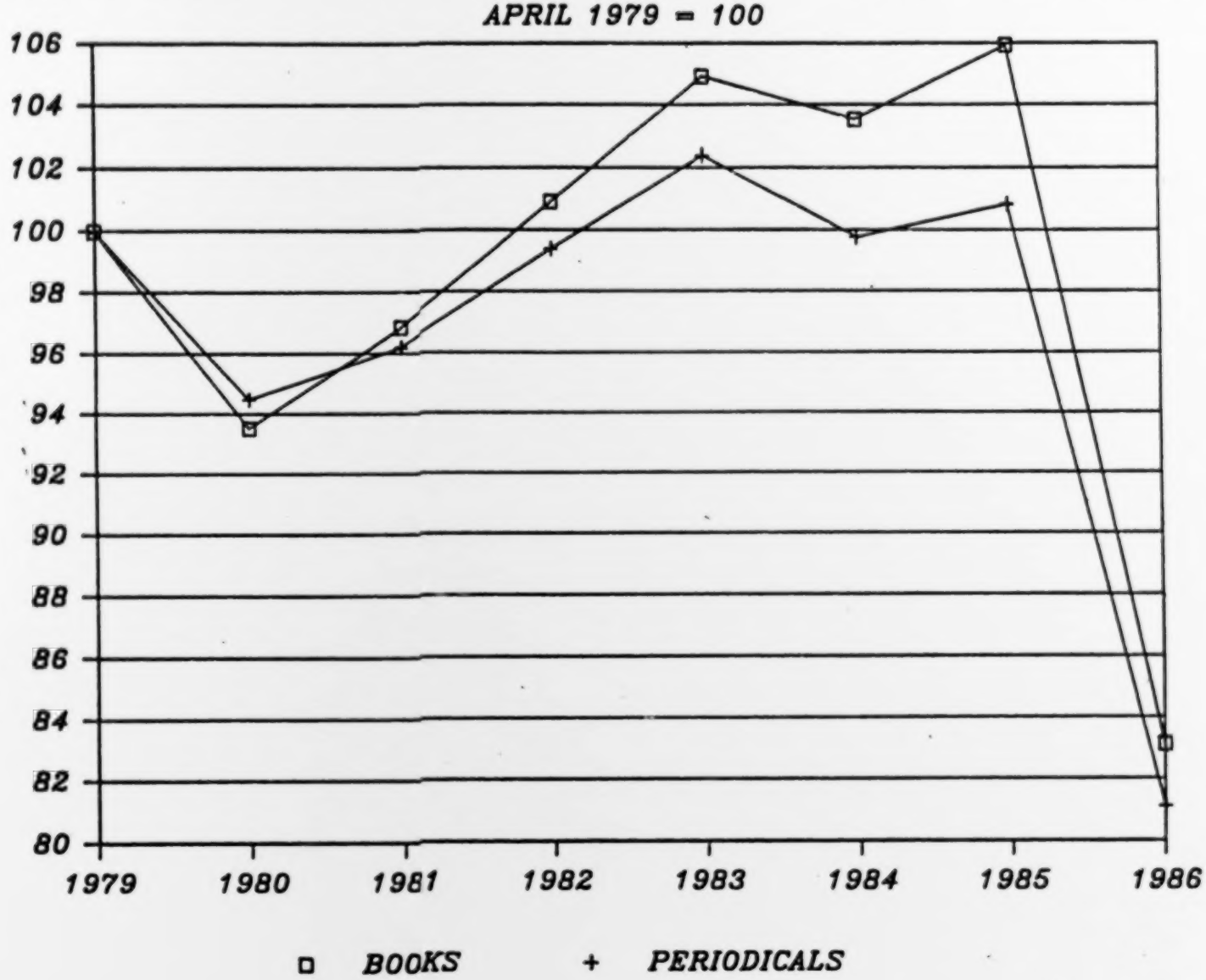


CHART 4

SELECTED READING LIST

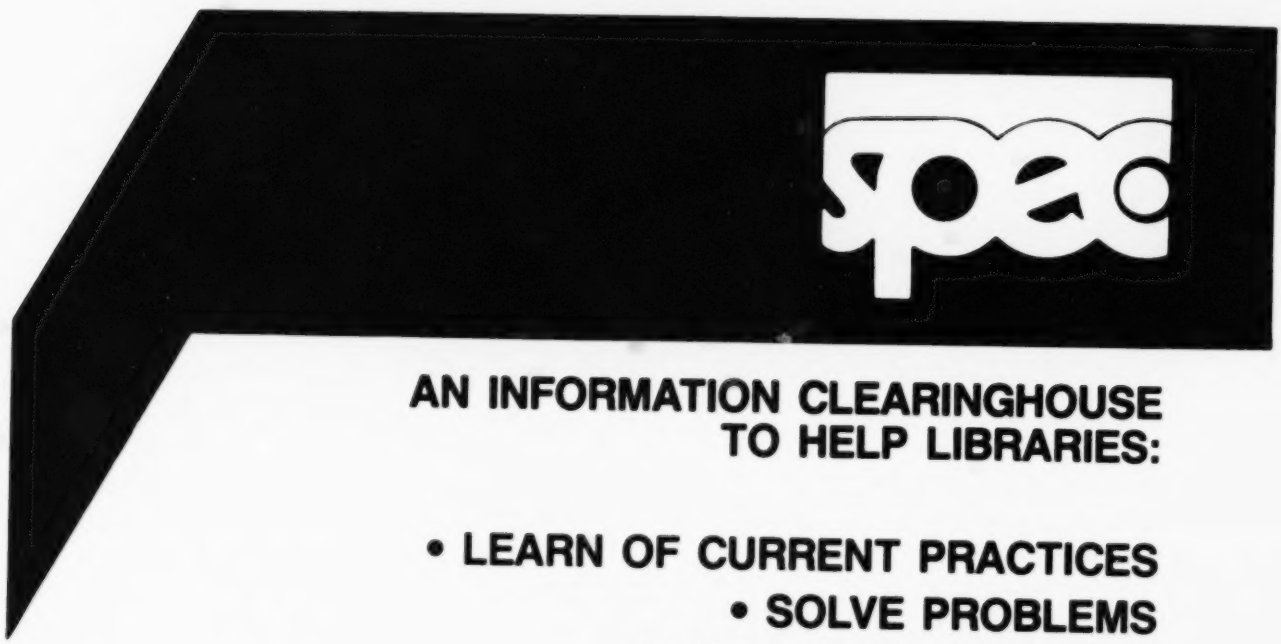
"If Present Trends Continue: Responding to Journal Price Increases" by Robert L. Houbeck, Jr., in Journal of Academic Librarianship 13:4 (September 1987): 214-220.

"A Method for Cooperative Serials Selection and Cancellation Through Consortium Activities" by Karen Brewer, Gary Pitkin, and Neal Edgar in Journal of Academic Librarianship 4:4 (September 1978): 204-208.

"Rising Serials Prices and Research Libraries", ARL Briefing Package 1988-2 (ARL is also conducting a "Serials Prices Project" with results due late in 1988).

"Seven Years of Cancellations at Georgia Tech" in Serials Librarian 9:3 (Spring 1985) 103-114; "What's Wrong With This Library?" by N. David Mermin in Physics Today (August 1988): 9-11.

SYSTEMS AND PROCEDURES EXCHANGE CENTER



AN INFORMATION CLEARINGHOUSE TO HELP LIBRARIES:

- **LEARN OF CURRENT PRACTICES**
- **SOLVE PROBLEMS**
- **MANAGE CHANGE AND**
- **IMPROVE PERFORMANCE**

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